# **CSE326: Analysis and Design of Algorithms**Lecture 1

## Course Outline (Tentative)

- Basics: Asymptotic notation and recurrences
- Divide-and-Conquer
- Dynamic programming
- Greedy algorithms
- Amortized analysis
- NP-completeness
- Graph algorithms

## Course Logistics

- Course updates will be posted on MS teams.
  - Team code posted to your group.

Grade distribution (tentative):

Coursework and labs: 25%

• Midterm: 25%

• Final: 50%

#### Academic integrity:

You must complete the sheets and assignments independently.
 Avoid any violation of academic integrity.

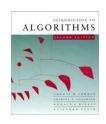
#### Textbook

• Main textbook: *Introduction to Algorithms*, 3rd Edition by Cormen, Leiserson, Rivest, & Stein (CLRS).

Other useful references will be posted when needed.

## **Lecture 1:** Asymptotic Notation and Recurrences

The following slides are an edited version of slides by professors *Erik D. Demaine* and *Charles E. Leiserson* provided by MIT OCW (CC license).



#### Analysis of algorithms

The theoretical study of computer-program performance and resource usage.

In practice, are there other aspects that we care about?



# Why study algorithms and performance?

- Algorithms help us to understand scalability.
- Performance often draws the line between what is feasible and what is impossible.
- Algorithmic mathematics provides a *language* for talking about program behavior.
- Performance is the *currency* of computing.
- The lessons of program performance generalize to other computing resources.
- Speed is fun!

## Analysis of Algorithms

- Goal: Predicting the resources that an algorithm requires
- Efficiency metrics:
  - Running time
  - Memory (space) used
  - Communication overhead, e.g., packets sent over a network in a distributed algorithm
- The efficiency is measured with respect to the input size.
  - Note: The input size is defined based on the problem.
    - For a sorting problem, it is usually the number of items.
    - For a graph problem, it is usually expressed in two numbers: number of edges and number of vertices.
    - For integer multiplication, it is the number of bits of the input numbers.

## Analysis of Algorithms

- In most cases, assumed model of computation: the RAM model
- The RAM model contains instructions commonly found in real computers:
  - Arithmetic (add, subtract, multiply, divide, remainder, floor, ceiling),
  - Data movement (load, store, copy)
  - Control (conditional and unconditional branch, subroutine call and return).
- Each basic instruction is assumed to take a constant amount of time.
- Data types: integer and floating-point types
  - Each word of data has a limited size.



#### The problem of sorting

**Input:** sequence  $\langle a_1, a_2, ..., a_n \rangle$  of numbers.

**Output:** permutation  $\langle a'_1, a'_2, ..., a'_n \rangle$  such that  $a'_1 \le a'_2 \le \cdots \le a'_n$ .

#### **Example:**

*Input*: 8 2 4 9 3 6

Output: 2 3 4 6 8 9



#### Insertion sort

"pseudocode"

```
INSERTION-SORT (A, n) \triangleright A[1 ... n]

for j \leftarrow 2 to n

do key \leftarrow A[j]

i \leftarrow j - 1

while i > 0 and A[i] > key

do A[i+1] \leftarrow A[i]

i \leftarrow i - 1

A[i+1] = key
```

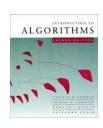


#### Insertion sort

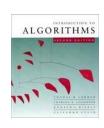
INSERTION-SORT (A, n)  $\triangleright A[1 ... n]$ for  $j \leftarrow 2$  to n**do**  $key \leftarrow A[j]$  $i \leftarrow j - 1$ "pseudocode" while i > 0 and A[i] > key $\operatorname{do} A[i+1] \leftarrow A[i]$  $i \leftarrow i - 1$ A[i+1] = keyn*A*: key sorted

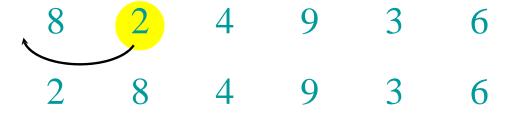


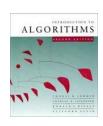
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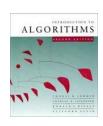


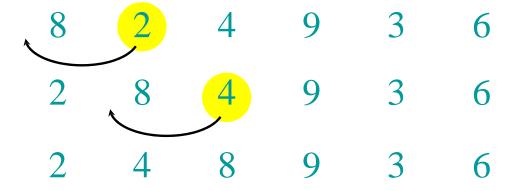


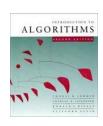


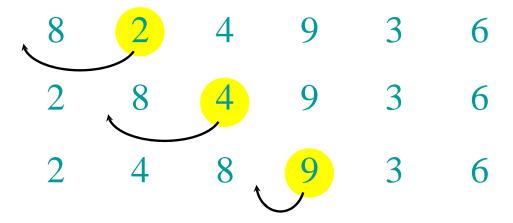


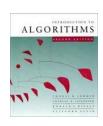


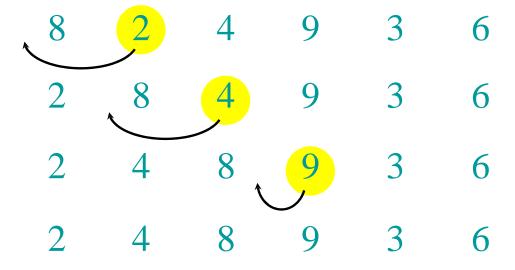


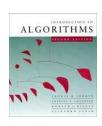


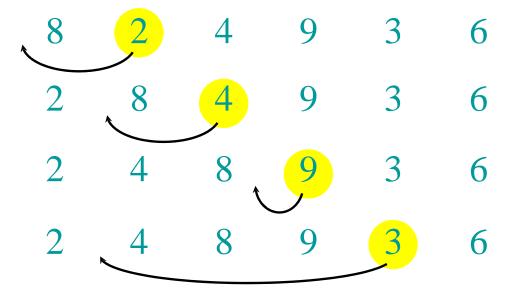


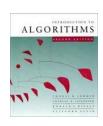


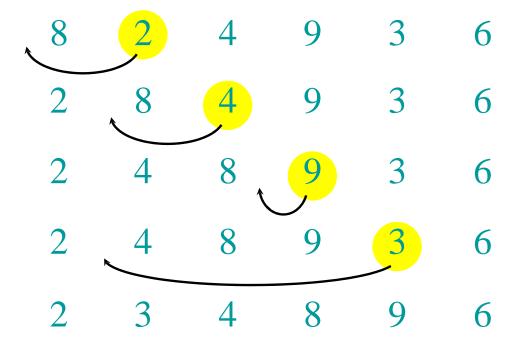


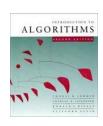


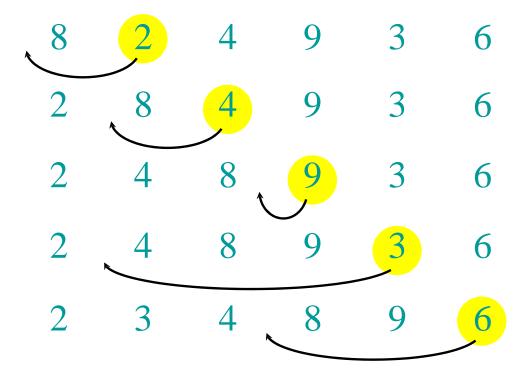


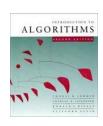


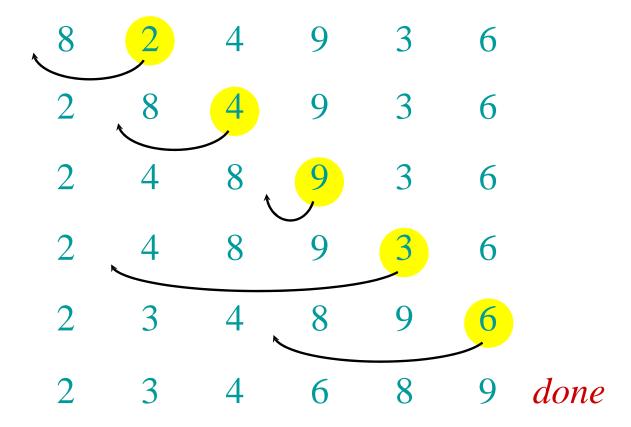


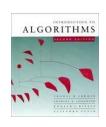






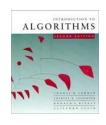






#### Running time of insertion sort

- The running time depends on the input: an already sorted sequence is easier to sort.
- Parameterize the running time by the size of the input, since short sequences are easier to sort than long ones.
- Generally, we seek upper bounds on the running time, because everybody likes a guarantee.



#### Kinds of analyses

#### Worst-case: (usually)

• T(n) = maximum time of algorithm on any input of size n.

#### **Average-case:** (sometimes)

- T(n) = expected time of algorithm over all inputs of size n.
- Need assumption of statistical distribution of inputs.

#### Best-case: (bogus)

• Cheat with a slow algorithm that works fast on *some* input.



#### Machine-independent time

#### What is insertion sort's worst-case time?

- It depends on the speed of our computer:
  - relative speed (on the same machine),
  - absolute speed (on different machines).

#### **BIG IDEA:**

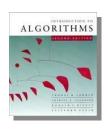
- Ignore machine-dependent constants.
- Look at *growth* of T(n) as  $n \to \infty$ .

"Asymptotic Analysis"

#### Next

- Asymptotic Notation
  - O-,  $\Omega$ -, and  $\Theta$ -notation
- Recurrences
  - Substitution method
  - Recursion tree
  - Master method





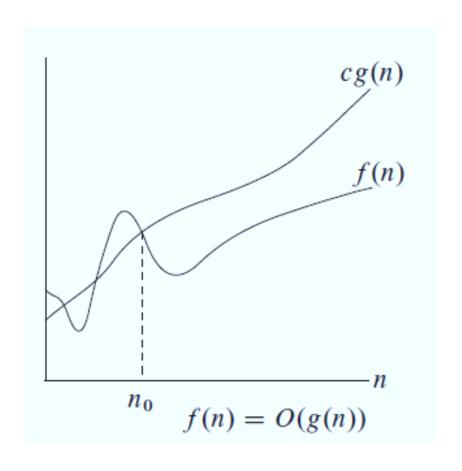
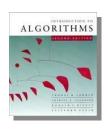


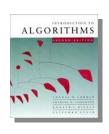
Figure 3.1(b) from CLRS

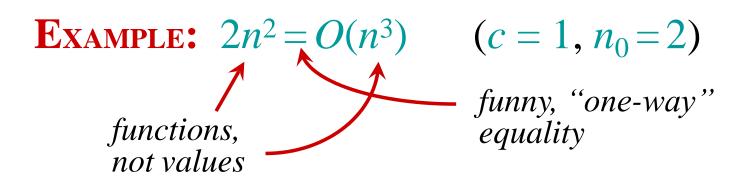


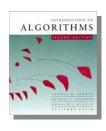
**EXAMPLE:** 
$$2n^2 = O(n^3)$$
  $(c = 1, n_0 = 2)$ 



**EXAMPLE:** 
$$2n^2 = O(n^3)$$
  $(c = 1, n_0 = 2)$  functions, not values







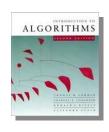
## Set definition of O-notation

```
O(g(n)) = \{ f(n) : \text{there exist constants} 

c > 0, n_0 > 0 \text{ such} 

\text{that } 0 \le f(n) \le cg(n) 

\text{for all } n \ge n_0 \}
```



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```
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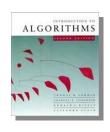
\text{for all } n \ge n_0 \}
```

**EXAMPLE:** 
$$2n^2 \in O(n^3)$$



## Macro substitution

**Convention:** A set in a formula represents an anonymous function in the set.



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**Convention:** A set in a formula represents an anonymous function in the set.

Example: 
$$f(n) = n^3 + O(n^2)$$
  
means  
 $f(n) = n^3 + h(n)$   
for some  $h(n) \in O(n^2)$ .



#### Macro substitution

**Convention:** A set in a formula represents an anonymous function in the set.

```
EXAMPLE: n^2 + O(n) = O(n^2) means for any f(n) \in O(n): n^2 + f(n) = h(n) for some h(n) \in O(n^2).
```

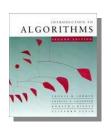


*O*-notation is an *upper-bound* notation. It makes no sense to say f(n) is at least  $O(n^2)$ .



*O*-notation is an *upper-bound* notation. It makes no sense to say f(n) is at least  $O(n^2)$ . We use  $\Omega$  to indicate lower bounds.

```
\Omega(g(n)) = \{ f(n) : \text{there exist constants} \ c > 0, n_0 > 0 \text{ such} \ \text{that } 0 \le cg(n) \le f(n) \ \text{for all } n \ge n_0 \}
```



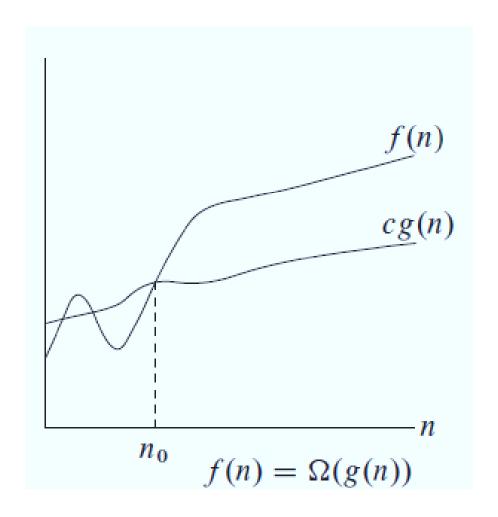
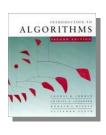


Figure 3.1(c) from CLRS



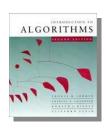
$$\Omega(g(n)) = \{ f(n) : \text{there exist constants} \\ c > 0, n_0 > 0 \text{ such} \\ \text{that } 0 \le cg(n) \le f(n) \\ \text{for all } n \ge n_0 \}$$

**EXAMPLE:** 
$$\sqrt{n} = \Omega(\lg n)$$
 ( $c = 1, n_0 = 16$ )



## Θ-notation (tight bounds)

$$\Theta(g(n)) = O(g(n)) \cap \Omega(g(n))$$



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$$\Theta(g(n)) = O(g(n)) \cap \Omega(g(n))$$

**EXAMPLE:** 
$$\frac{1}{2}n^2 - 2n = \Theta(n^2)$$



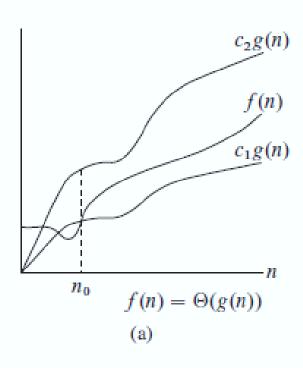
## Θ-notation (tight bounds)

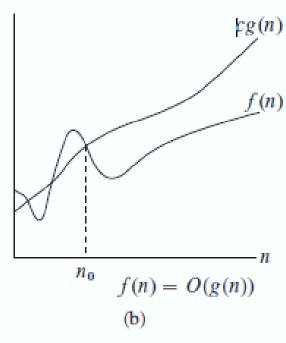
```
\Theta(g(n)) = \{ f(n) : \text{there exist positive constants } c_1, c_2, \text{ and } n_0 \text{ such that } 0 \le c_1 g(n) \le f(n) \le c_2 g(n) \text{ for all } n \ge n_0 \}
```

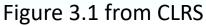


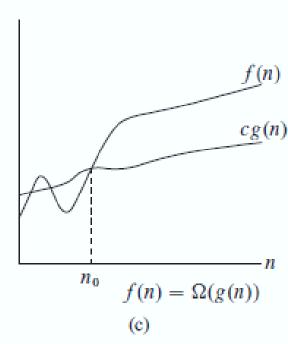
# Asymptotic Notation

•  $\Theta$ -, O-, and  $\Omega$  -notation











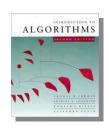
## o-notation and $\omega$ -notation

*O*-notation and  $\Omega$ -notation are like  $\leq$  and  $\geq$ . *o*-notation and  $\omega$ -notation are like < and >.

$$o(g(n)) = \{ f(n) : \text{ for any constant } c > 0, \\ \text{there is a constant } n_0 > 0 \\ \text{such that } 0 \le f(n) < cg(n) \\ \text{for all } n \ge n_0 \}$$

**EXAMPLE:** 
$$2n^2 = o(n^3)$$

 $2n^2 < cn^3$  for any c > 0 and all  $n \ge n_0$  where  $n_0 > 2/c$ 



## o-notation and $\omega$ -notation

*O*-notation and  $\Omega$ -notation are like  $\leq$  and  $\geq$ . *o*-notation and  $\omega$ -notation are like < and >.

```
\omega(g(n)) = \{ f(n) : \text{ for any constant } c > 0, \\ \text{there is a constant } n_0 > 0 \\ \text{such that } 0 \le cg(n) < f(n) \\ \text{for all } n \ge n_0 \}
```

**EXAMPLE:** 
$$\sqrt{n} = \omega(\lg n)$$

#### o-notation and $\omega$ -notation

#### **Limit Definition**

$$f(n) = o(g(n))$$

$$\lim_{n \to \infty} \frac{f(n)}{g(n)} = 0$$

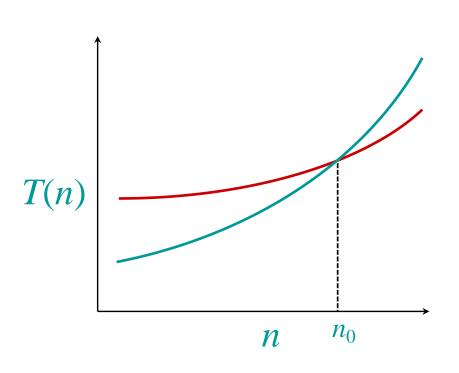
$$f(n) = \omega(g(n))$$

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



### Asymptotic performance

When n gets large enough, a  $\Theta(n^2)$  algorithm always beats a  $\Theta(n^3)$  algorithm.



- We shouldn't ignore asymptotically slower algorithms, however.
- Real-world design situations often call for a careful balancing of engineering objectives.
- Asymptotic analysis is a useful tool to help to structure our thinking.

#### Exercise

- Sort the following functions by the order of their growth:
  - 5n<sup>2</sup>
  - n lg n
  - log<sub>3</sub> n<sup>2</sup>
  - lg n
  - (lg n)<sup>2</sup>
  - n!
  - (n+1)!
  - 2<sup>n</sup>
  - 3 lg n

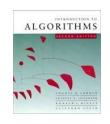
Note: Section 3.2 in CLRS has a review of standard mathematical functions that can help with this problem.

#### Solution

From lowest to highest:

Functions written on the same line are in the same group. f(n) and g(n) are in the same group if and only if  $f(n) = \theta(g(n))$ 

- lg n, log<sub>3</sub> n<sup>2</sup>
- (lg n)<sup>2</sup>
- n lg n
- 3 lg n
- 5n<sup>2</sup>
- 2<sup>n</sup>
- n!
- (n+1)!



### Insertion sort analysis

Worst case: Input reverse sorted.

$$T(n) = \sum_{j=2}^{n} \Theta(j) = \Theta(n^2)$$
 [arithmetic series]

Average case: All permutations equally likely.

$$T(n) = \sum_{j=2}^{n} \Theta(j/2) = \Theta(n^2)$$

Is insertion sort a fast sorting algorithm?

- Moderately so, for small *n*.
- Not at all, for large *n*.

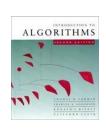


#### Merge sort

#### Merge-Sort A[1 ... n]

- 1. If n = 1, done.
- 2. Recursively sort A[1..[n/2]] and A[[n/2]+1..n].
- 3. "Merge" the 2 sorted lists.

Key subroutine: MERGE

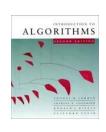


20 12

13 11

7 9

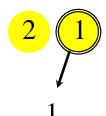
2 1

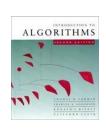


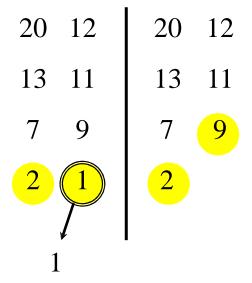
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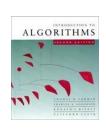
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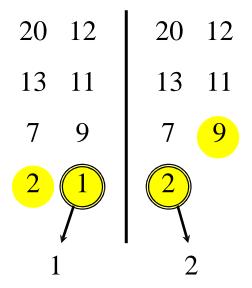
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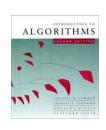


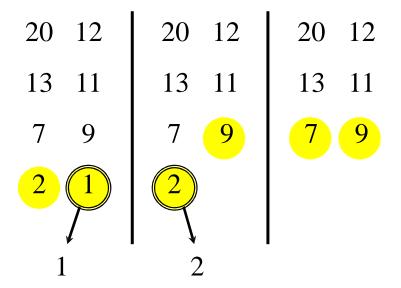


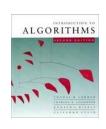


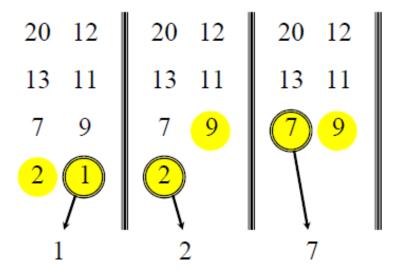




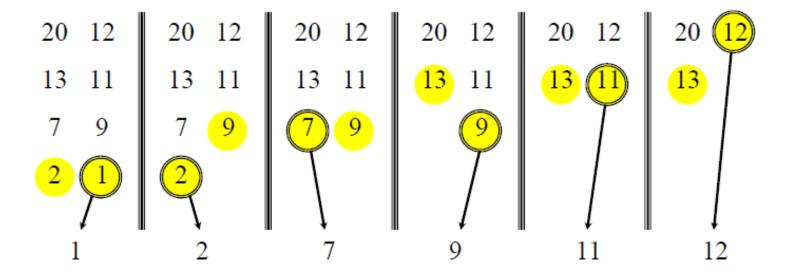




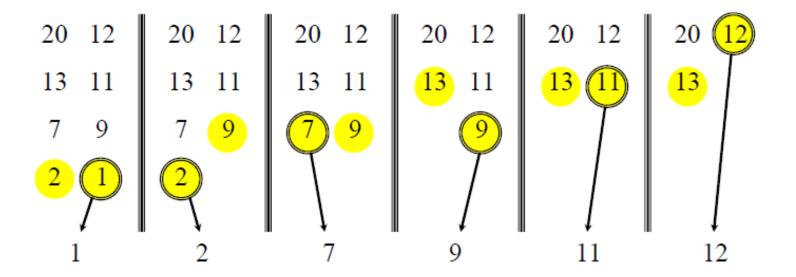












Time =  $\Theta(n)$  to merge a total of n elements (linear time).



#### Analyzing merge sort

```
T(n)<br/>\Theta(1)<br/>2T(n/2)MERGE-SORT A[1 ... n]<br/>1. If n = 1, done.<br/>2. Recursively sort A[1 ... [n/2]]<br/>and A[[n/2] +1 ... n].<br/>3. "Merge" the 2 sorted lists.
```

**Sloppiness:** Should be  $T(\lceil n/2 \rceil) + T(\lceil n/2 \rceil)$ , but it turns out not to matter asymptotically.



#### Recurrence for merge sort

$$T(n) = \begin{cases} \Theta(1) \text{ if } n = 1; \\ 2T(n/2) + \Theta(n) \text{ if } n > 1. \end{cases}$$

- We shall usually omit stating the base case when  $T(n) = \Theta(1)$  for sufficiently small n, but only when it has no effect on the asymptotic solution to the recurrence.
- Next, we will discuss several ways to find a good upper bound on T(n).

# Solving Recurrences

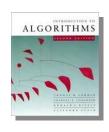
- Iterating the recurrence
- Substitution method
- Recursion tree
- Master method



#### Substitution method

#### The most general method:

- 1. Guess the form of the solution.
- 2. Verify by induction.
- 3. Solve for constants.



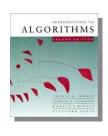
#### Substitution method

#### The most general method:

- 1. Guess the form of the solution.
- 2. Verify by induction.
- 3. Solve for constants.

#### **EXAMPLE:** T(n) = 4T(n/2) + n

- [Assume that  $T(1) = \Theta(1)$ .]
- Guess  $O(n^3)$  . (Prove O and  $\Omega$  separately.)
- Assume that  $T(k) \le ck^3$  for k < n.
- Prove  $T(n) \le cn^3$  by induction.



### Example of substitution

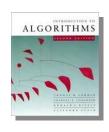
$$T(n) = 4T(n/2) + n$$

$$\leq 4c(n/2)^3 + n$$

$$= (c/2)n^3 + n$$

$$= cn^3 - ((c/2)n^3 - n) \leftarrow desired - residual$$

$$\leq cn^3 \leftarrow desired$$
whenever  $(c/2)n^3 - n \geq 0$ , for example, if  $c \geq 2$  and  $n \geq 1$ .
$$residual$$



### Example (continued)

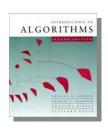
- We must also handle the initial conditions, that is, ground the induction with base cases.
- **Base:**  $T(n) = \Theta(1)$  for all  $n < n_0$ , where  $n_0$  is a suitable constant.
- For  $1 \le n < n_0$ , we have " $\Theta(1)$ "  $\le cn^3$ , if we pick c big enough.



## Example (continued)

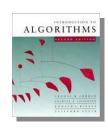
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#### This bound is not tight!



# A tighter upper bound?

We shall prove that  $T(n) = O(n^2)$ .



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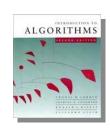
Assume that  $T(k) \le ck^2$  for k < n:

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

$$\leq 4c(n/2)^{2} + n$$

$$= cn^{2} + n$$

$$= O(n^{2})$$



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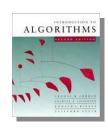
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$$= 0$$
Wrong! We must prove the I.H.



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 $\leq 4c(n/2)^2 + n$   
 $= cn^2 + n$   
 $= cn^2$ ) Wrong! We must prove the I.H.  
 $= cn^2 - (-n)$  [desired – residual]  
 $\leq cn^2$  for no choice of  $c > 0$ . Lose!

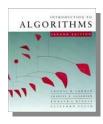


# A tighter upper bound!

**IDEA:** Strengthen the inductive hypothesis.

• Subtract a low-order term.

Inductive hypothesis:  $T(k) \le c_1 k^2 - c_2 k$  for k < n.



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*Inductive hypothesis:*  $T(k) \le c_1 k^2 - c_2 k$  for k < n.

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

$$= 4(c_1(n/2)^2 - c_2(n/2)) + n$$

$$= c_1n^2 - 2c_2n + n$$

$$= c_1n^2 - c_2n - (c_2n - n)$$

$$\leq c_1n^2 - c_2n \quad \text{if } c_2 \geq 1.$$



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$$\leq c_1n^2 - c_2n \quad \text{if } c_2 \geq 1.$$

Pick  $c_1$  big enough to handle the initial conditions.

#### Exercises

 Solve the following recurrence using the substitution method.

$$T(n) = 2T(\lfloor n/2 \rfloor) + n$$

• Solve this recurrence:

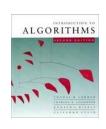
$$T(n) = 2T\left(\left\lfloor \sqrt{n} \right\rfloor\right) + \lg n ,$$



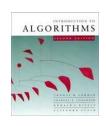
#### Recursion-tree method

- A recursion tree models the costs (time) of a recursive execution of an algorithm.
- The recursion tree method is good for generating guesses for the substitution method.
- When using a recursion tree to generate a good guess, a small amount of "sloppiness," is tolerated, since the guess will be verified later on.

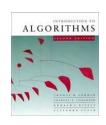


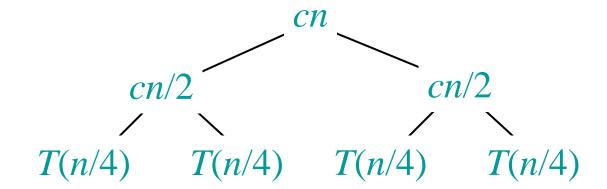


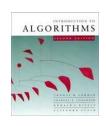
Solve 
$$T(n) = 2T(n/2) + cn$$
, where  $c > 0$  is constant.
$$T(n)$$

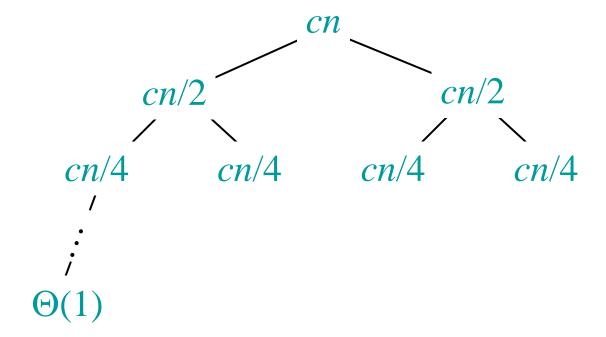


$$T(n/2)$$
  $T(n/2)$ 

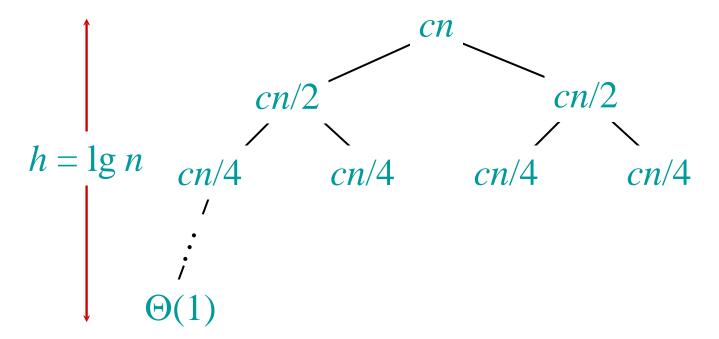


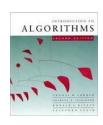


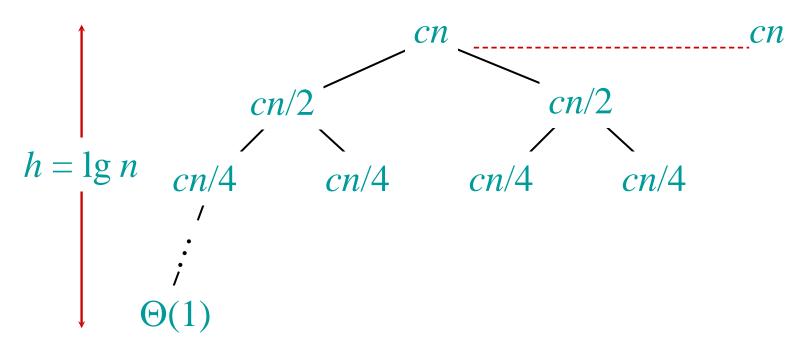


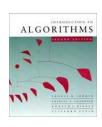


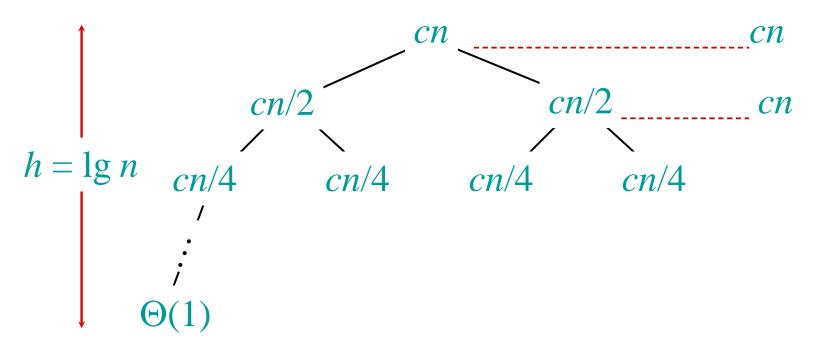


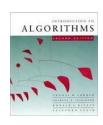


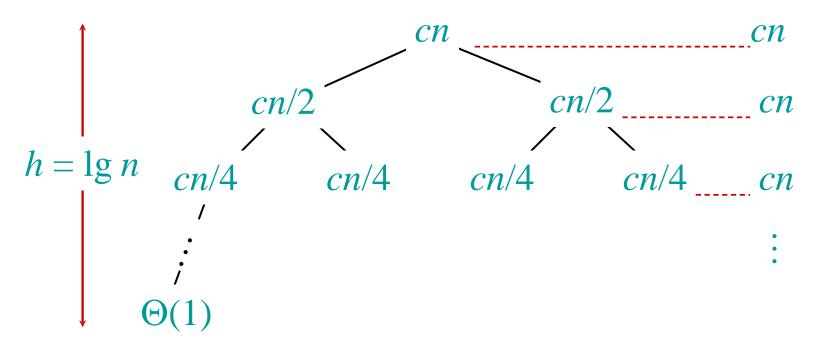




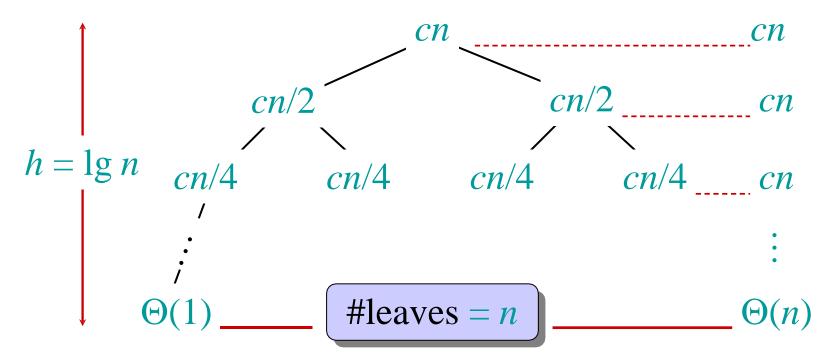




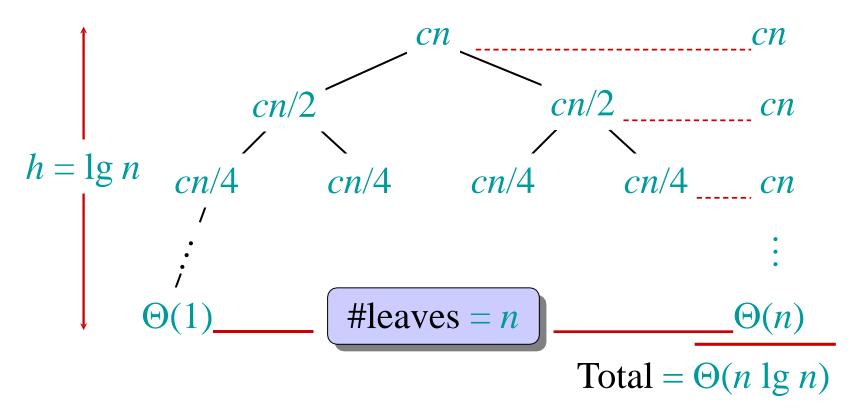


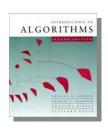












Solve 
$$T(n) = T(n/4) + T(n/2) + n^2$$
:



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:
$$T(n)$$



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  $T(n/2)$ 

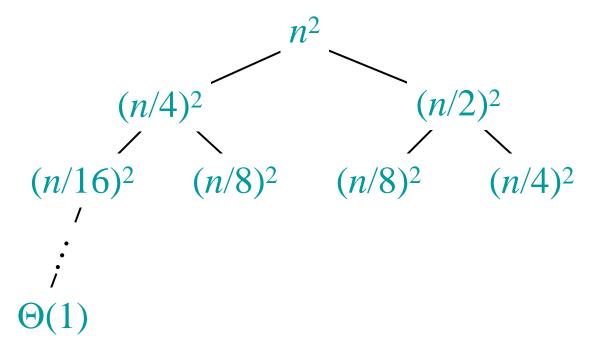


Solve 
$$T(n) = T(n/4) + T(n/2) + n^2$$
:

$$(n/4)^2$$
  $(n/2)^2$   $T(n/16)$   $T(n/8)$   $T(n/8)$   $T(n/4)$ 

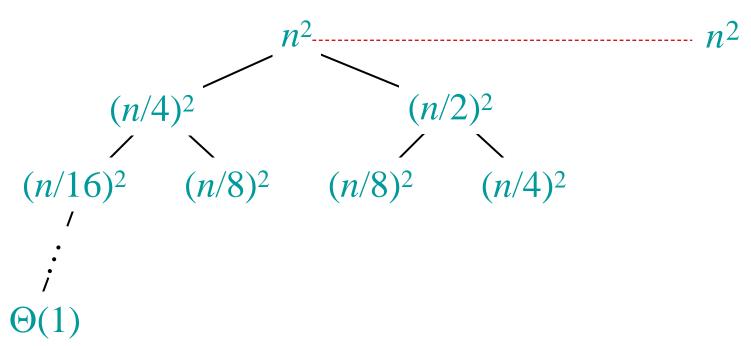


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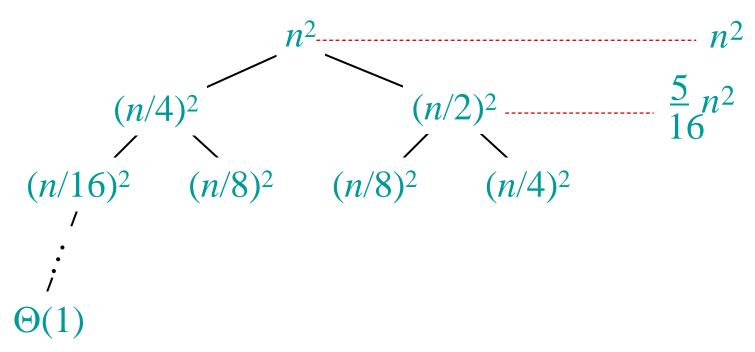


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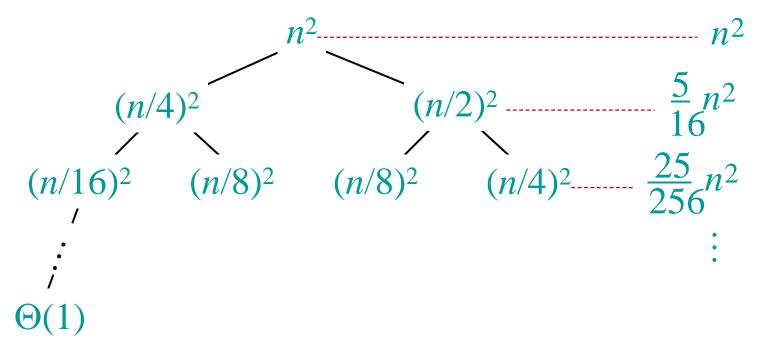


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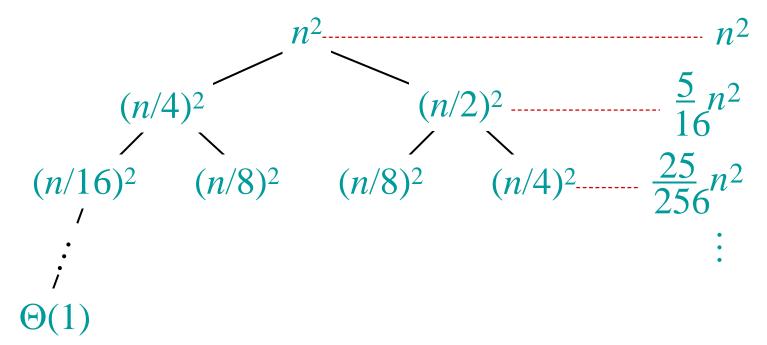


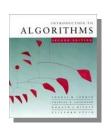
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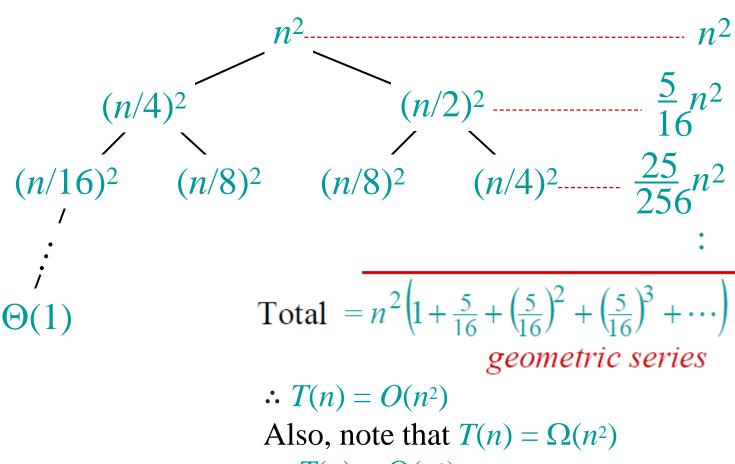


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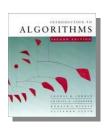


Solve 
$$T(n) = T(n/4) + T(n/2) + n^2$$
:



Note: This computes a bound, not the exact cost.

$$\therefore T(n) = \Theta(n^2).$$



Solve 
$$T(n) = T(n/4) + T(n/2) + n^2$$
:

Q. Why was the cost of the leaf nodes ignored?



Solve 
$$T(n) = T(n/4) + T(n/2) + n^2$$
:

**Q.** Why was the cost of the leaf nodes ignored? The number of leaf nodes is O(n).



#### The master method

The master method applies to recurrences of the form

$$T(n) = a T(n/b) + f(n) ,$$

where  $a \ge 1$ , b > 1, and f is asymptotically positive.



#### Three common cases

#### Compare f(n) with $n^{\log ba}$ :

- 1.  $f(n) = O(n^{\log_b a \varepsilon})$  for some constant  $\varepsilon > 0$ .
  - f(n) grows polynomially slower than  $n^{\log ba}$  (by an  $n^{\epsilon}$  factor).

```
Solution: T(n) = \Theta(n^{\log_b a}).
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**Solution:** 
$$T(n) = \Theta(n^{\log_b a})$$
.

- 2.  $f(n) = \Theta(n^{\log_b a} \lg^k n)$  for some constant  $k \ge 0$ .
  - f(n) and  $n^{\log ba}$  grow at similar rates.

**Solution:** 
$$T(n) = \Theta(n^{\log_b a} \lg^{k+1} n)$$
.



### Three common cases (cont.)

#### Compare f(n) with $n^{\log ba}$ :

- 3.  $f(n) = \Omega(n^{\log_b a + \varepsilon})$  for some constant  $\varepsilon > 0$ .
  - f(n) grows polynomially faster than  $n^{\log ba}$  (by an  $n^{\epsilon}$  factor),

and f(n) satisfies the regularity condition that  $af(n/b) \le cf(n)$  for some constant c < 1.

**Solution:**  $T(n) = \Theta(f(n))$ .

# ALGORITHMS

#### Examples

```
Ex. T(n) = 4T(n/2) + n

a = 4, b = 2 \Rightarrow n^{\log_b a} = n^2; f(n) = n.

Case 1: f(n) = O(n^{2-\epsilon}) for \epsilon = 1.

\therefore T(n) = \Theta(n^2).
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#### Examples

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$$T(n) = 4T(n/2) + n^2$$
  
 $a = 4, b = 2 \Rightarrow n^{\log ba} = n^2; f(n) = n^2.$   
Case 2:  $f(n) = \Theta(n^2 \lg^0 n)$ , that is,  $k = 0$ .  
 $\therefore T(n) = \Theta(n^2 \lg n)$ .



#### Examples

```
Ex. T(n) = 4T(n/2) + n^3

a = 4, b = 2 \Rightarrow n^{\log ba} = n^2; f(n) = n^3.

Case 3: f(n) = \Omega(n^{2+\epsilon}) for \epsilon = 1

and \ 4(n/2)^3 \le cn^3 (reg. cond.) for c = 1/2.

\therefore T(n) = \Theta(n^3).
```



#### Examples

Ex.  $T(n) = 4T(n/2) + n^3$   $a = 4, b = 2 \Rightarrow n^{\log_b a} = n^2; f(n) = n^3.$ CASE 3:  $f(n) = \Omega(n^{2+\epsilon})$  for  $\epsilon = 1$   $and \ 4(n/2)^3 \le cn^3$  (reg. cond.) for c = 1/2.  $\therefore T(n) = \Theta(n^3).$ 

Ex.  $T(n) = 4T(n/2) + n^2/\lg n$   $a = 4, b = 2 \Rightarrow n^{\log ba} = n^2; f(n) = n^2/\lg n.$ Master method does not apply. In particular, for every constant  $\varepsilon > 0$ , we have  $n^{\varepsilon} = \omega(\lg n)$ .