6 Recurrences

```
Algorithm 2 mergesort(list $L$)
$n \leftarrow \mathrm{size}(L)$
if $n \leq 1$ return $L$
$L_1 \leftarrow L[1 \cdots \lfloor \frac{n}{2} \rfloor]$
$L_2 \leftarrow L[\lfloor \frac{n}{2} \rfloor + 1 \cdots n]$
$\mathrm{mergesort}(L_1)$
$\mathrm{mergesort}(L_2)$
$L \leftarrow \mathrm{merge}(L_1, L_2)$
return $L$
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Algorithm 2 mergesort(list L)

```
n ← size(L)
if n ≤ 1 return L
L_1 ← L[1 ··· ⌊n/2⌋]
L_2 ← L[⌊n/2⌋ + 1 ··· n]
mergesort(L_1)
mergesort(L_2)
L ← merge(L_1, L_2)
return L
```

This algorithm requires

$$T(n) = T\left(\left\lceil\frac{n}{2}\right\rceil\right) + T\left(\left\lfloor\frac{n}{2}\right\rfloor\right) + \mathcal{O}(n) \le 2T\left(\left\lceil\frac{n}{2}\right\rceil\right) + \mathcal{O}(n)$$

comparisons when $n > 1$ and 0 comparisons when $n \le 1$.

Recurrences

How do we bring the expression for the number of comparisons ($\approx$ running time) into a closed form?

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How do we bring the expression for the number of comparisons ($\approx$ running time) into a closed form?

For this we need to solve the recurrence.

Methods for Solving Recurrences

1. **Guessing+Induction**
   Guess the right solution and prove that it is correct via induction. It needs experience to make the right guess.
2. **Master Theorem**
   For a lot of recurrences that appear in the analysis of algorithms this theorem can be used to obtain tight asymptotic bounds. It does not provide exact solutions.
3. **Characteristic Polynomial**
   Linear homogenous recurrences can be solved via this method.

Methods for Solving Recurrences

4. **Generating Functions**
   A more general technique that allows to solve certain types of linear inhomogenous relations and also sometimes non-linear recurrence relations.
5. **Transformation of the Recurrence**
   Sometimes one can transform the given recurrence relations so that it e.g. becomes linear and can therefore be solved with one of the other techniques.

6.1 Guessing+Induction

First we need to get rid of the $\mathcal{O}$-notation in our recurrence:

$$T(n) \leq \begin{cases} 2T(\lceil \frac{n}{2} \rceil) + cn & n \geq 2 \\ 0 & \text{otherwise} \end{cases}$$

Informal way:

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Informal way:

Assume that instead we have

$$T(n) \leq \begin{cases} 2T(\frac{n}{2}) + cn & n \geq 2 \\ 0 & \text{otherwise} \end{cases}$$

One way of solving such a recurrence is to guess a solution, and check that it is correct by plugging it in.

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Suppose we guess $T(n) \leq dn\log n$ for a constant d.

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if we choose $d \geq c$.

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if we choose $d \geq c$.

Formally, this is not correct if n is not a power of 2. Also even in this case one would need to do an induction proof.

6.1 Guessing+Induction

$$T(n) \leq \begin{cases} 2T(\frac{n}{2}) + cn & n \geq 16 \\ b & \text{otw.} \end{cases}$$

- Note that this proves the statement for $n = 2^k$, $k \in \mathbb{N}_{\geq 1}$, as the statement is wrong for $n = 1$.
- The base case is usually omitted, as it is the same for different recurrences.

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Hence, statement is true if we choose $d \ge c$.

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We consider the following recurrence instead of the original one:

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Note that we can do this as for constant-sized inputs the running time is always some constant (b in the above case).

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We also make a guess of $T(n) \leq dn \log n$ and get

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$$\boxed{\log \tfrac{9}{16}n = \log n + (\log 9 - 4)}$$

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\boxed{\log \tfrac{9}{16}n = \log n + (\log 9 - 4)} \quad &= dn\log n + (\log 9 - 4)dn + 2d\log n + cn \\
\boxed{\log n \le \tfrac{n}{4}} \quad &\le dn\log n + (\log 9 - 3.5)dn + cn \\
&\le dn\log n - 0.33dn + cn
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&\le dn\log n - 0.33dn + cn \\
&\le dn\log n
\end{aligned}$$

for a suitable choice of d.

6.2 Master Theorem

Note that the cases do not cover all possibilities.

Lemma 5

Let $a \geq 1, b > 1$ *and* $\epsilon > 0$ *denote constants. Consider the recurrence*

$$T(n) = aT\left(\frac{n}{b}\right) + f(n) \ .$$

Case 1.

If $f(n) = \mathcal{O}(n^{\log_b(a)-\epsilon})$ *then* $T(n) = \Theta(n^{\log_b a})$.

Case 2.

If $f(n) = \Theta(n^{\log_b(a)} \log^k n)$ *then* $T(n) = \Theta(n^{\log_b a} \log^{k+1} n)$, $k \geq 0$.

Case 3.

If $f(n) = \Omega(n^{\log_b(a)+\epsilon})$ *and for sufficiently large* n $af(\frac{n}{b}) \leq cf(n)$ *for some constant* $c < 1$ *then* $T(n) = \Theta(f(n))$.

6.2 Master Theorem

We prove the Master Theorem for the case that n is of the form b^ℓ, and we assume that the non-recursive case occurs for problem size 1 and incurs cost 1.

The Recursion Tree

The running time of a recursive algorithm can be visualized by a recursion tree:

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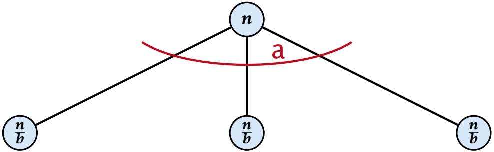

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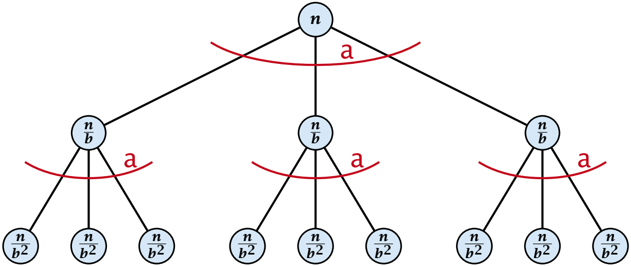

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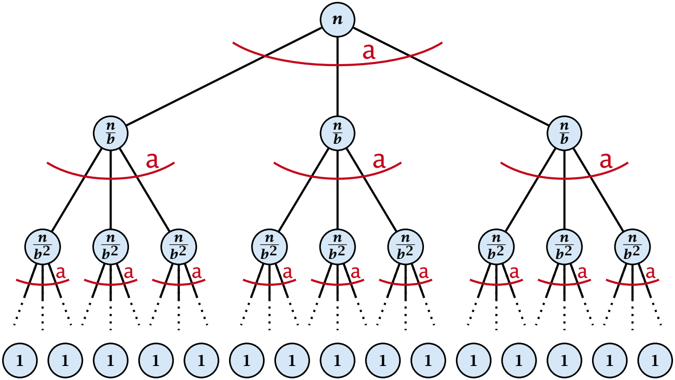

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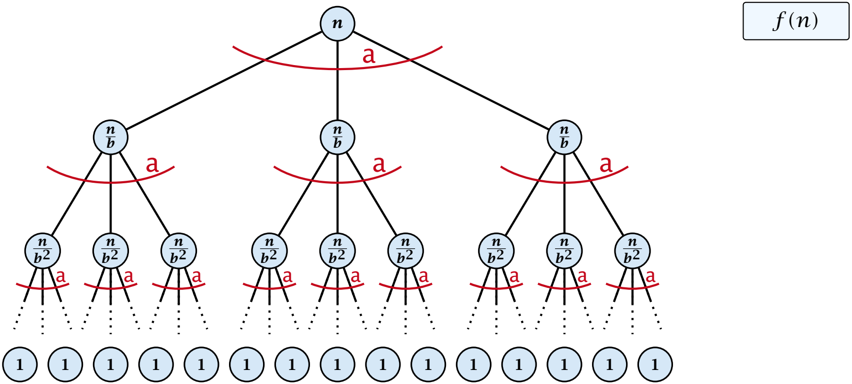

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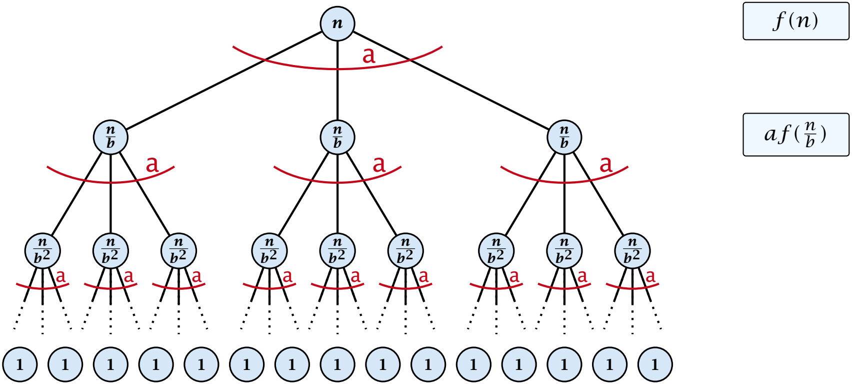

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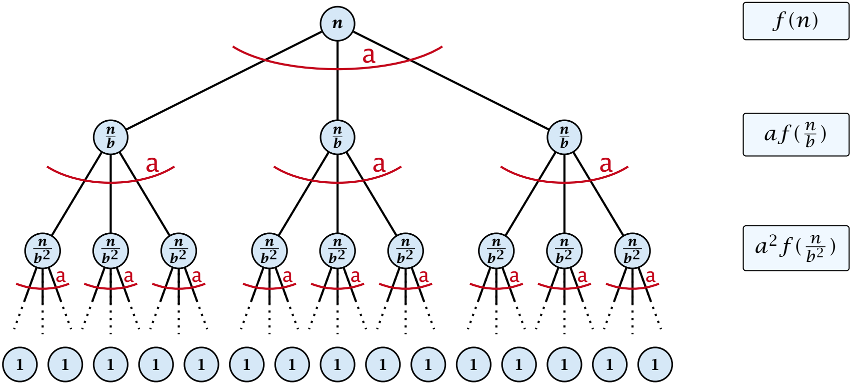

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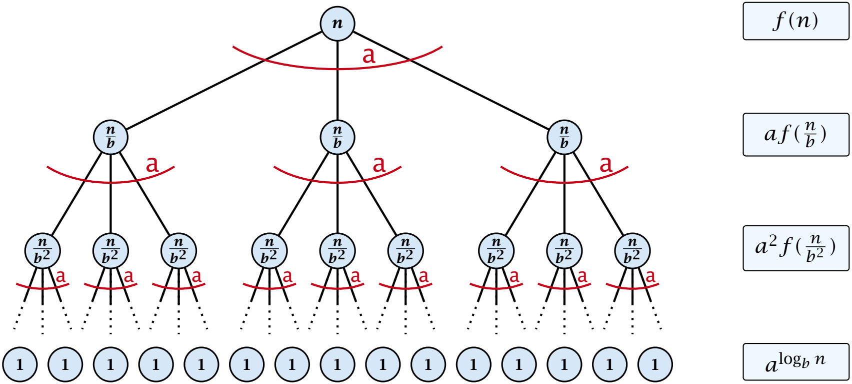

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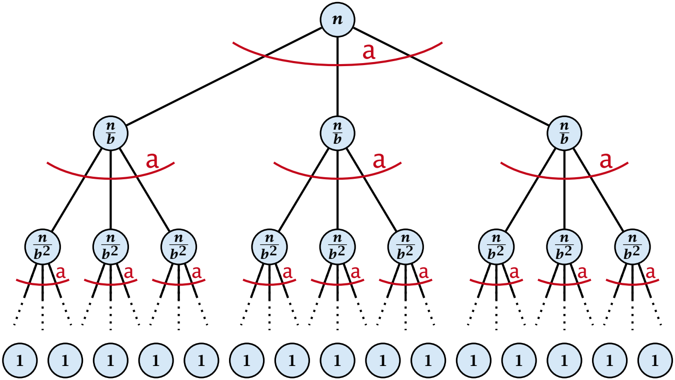

$$\boxed{f(n)}$$

$$\boxed{af(\tfrac{n}{b})}$$

$$\boxed{a^2 f(\tfrac{n}{b^2})}$$

$$\boxed{a^{\log_b n}}$$

$$=$$

$$\boxed{n^{\log_b a}}$$

6.2 Master Theorem

This gives

$$T(n) = n^{\log_b a} + \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right) \ .$$

Case 1. Now suppose that $f(n) \leq cn^{\log_b a-\epsilon}$.

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$$T(n) - n^{\log_b a}$$

Case 1. Now suppose that $f(n) \leq cn^{\log_b a - \epsilon}$.

$$T(n) - n^{\log_b a} = \sum_{i=0}^{\log_b n - 1} a^i f\left(\frac{n}{b^i}\right)$$

Case 1. Now suppose that $f(n) \le cn^{\log_b a-\epsilon}$.

$$\begin{aligned} T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right) \\ &\le c \sum_{i=0}^{\log_b n-1} a^i \left(\frac{n}{b^i}\right)^{\log_b a-\epsilon} \end{aligned}$$

Case 1. Now suppose that $f(n) \leq cn^{\log_b a-\epsilon}$.

$$
\begin{aligned}
T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right) \\
&\leq c \sum_{i=0}^{\log_b n-1} a^i \left(\frac{n}{b^i}\right)^{\log_b a-\epsilon}
\end{aligned}
$$

$$\boxed{b^{-i(\log_b a-\epsilon)} = b^{\epsilon i}(b^{\log_b a})^{-i} = b^{\epsilon i}a^{-i}}$$

Case 1. Now suppose that $f(n) \le cn^{\log_b a-\epsilon}$.

$$\begin{aligned} T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right) \\ &\le c \sum_{i=0}^{\log_b n-1} a^i \left(\frac{n}{b^i}\right)^{\log_b a-\epsilon} \\ &= cn^{\log_b a-\epsilon} \sum_{i=0}^{\log_b n-1} \left(b^{\epsilon}\right)^i \end{aligned}$$

$$\boxed{b^{-i(\log_b a-\epsilon)} = b^{\epsilon i}(b^{\log_b a})^{-i} = b^{\epsilon i} a^{-i}}$$

Case 1. Now suppose that $f(n) \leq cn^{\log_b a-\epsilon}$.

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$$\boxed{b^{-i(\log_b a-\epsilon)} = b^{\epsilon i}(b^{\log_b a})^{-i} = b^{\epsilon i}a^{-i}}$$

$$\boxed{\sum_{i=0}^{k} q^i = \frac{q^{k+1}-1}{q-1}}$$

Case 1. Now suppose that $f(n) \leq cn^{\log_b a-\epsilon}$.

$$
\begin{aligned}
T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right) \\
&\leq c \sum_{i=0}^{\log_b n-1} a^i \left(\frac{n}{b^i}\right)^{\log_b a-\epsilon} \\
\boxed{b^{-i(\log_b a-\epsilon)} = b^{\epsilon i}(b^{\log_b a})^{-i} = b^{\epsilon i}a^{-i}} \quad &= cn^{\log_b a-\epsilon} \sum_{i=0}^{\log_b n-1} (b^{\epsilon})^i \\
\boxed{\sum_{i=0}^{k} q^i = \frac{q^{k+1}-1}{q-1}} \quad &= cn^{\log_b a-\epsilon}(b^{\epsilon \log_b n} - 1)/(b^{\epsilon} - 1)
\end{aligned}
$$

Case 1. Now suppose that $f(n) \leq cn^{\log_b a-\epsilon}$.

$$\begin{aligned}
T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right) \\
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\boxed{b^{-i(\log_b a-\epsilon)} = b^{\epsilon i}(b^{\log_b a})^{-i} = b^{\epsilon i}a^{-i}} \quad &= cn^{\log_b a-\epsilon} \sum_{i=0}^{\log_b n-1} (b^\epsilon)^i \\
\boxed{\textstyle\sum_{i=0}^{k} q^i = \frac{q^{k+1}-1}{q-1}} \quad &= cn^{\log_b a-\epsilon}(b^{\epsilon \log_b n} - 1)/(b^\epsilon - 1) \\
&= cn^{\log_b a-\epsilon}(n^\epsilon - 1)/(b^\epsilon - 1)
\end{aligned}$$

Case 1. Now suppose that $f(n) \le cn^{\log_b a - \epsilon}$.

$$T(n) - n^{\log_b a} = \sum_{i=0}^{\log_b n - 1} a^i f\left(\frac{n}{b^i}\right)$$

$$\le c \sum_{i=0}^{\log_b n - 1} a^i \left(\frac{n}{b^i}\right)^{\log_b a - \epsilon}$$

$$\boxed{b^{-i(\log_b a - \epsilon)} = b^{\epsilon i}(b^{\log_b a})^{-i} = b^{\epsilon i} a^{-i}} \quad = cn^{\log_b a - \epsilon} \sum_{i=0}^{\log_b n - 1} (b^{\epsilon})^i$$

$$\boxed{\sum_{i=0}^{k} q^i = \frac{q^{k+1}-1}{q-1}} \quad = cn^{\log_b a - \epsilon}(b^{\epsilon \log_b n} - 1)/(b^{\epsilon} - 1)$$

$$= cn^{\log_b a - \epsilon}(n^{\epsilon} - 1)/(b^{\epsilon} - 1)$$

$$= \frac{c}{b^{\epsilon} - 1} n^{\log_b a}(n^{\epsilon} - 1)/(n^{\epsilon})$$

Case 1. Now suppose that $f(n) \le cn^{\log_b a-\epsilon}$.

$$
\begin{aligned}
T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right) \\
&\le c \sum_{i=0}^{\log_b n-1} a^i \left(\frac{n}{b^i}\right)^{\log_b a-\epsilon} \\
\boxed{b^{-i(\log_b a-\epsilon)} = b^{\epsilon i}(b^{\log_b a})^{-i} = b^{\epsilon i}a^{-i}} \quad &= cn^{\log_b a-\epsilon} \sum_{i=0}^{\log_b n-1} (b^\epsilon)^i \\
\boxed{\textstyle\sum_{i=0}^{k} q^i = \frac{q^{k+1}-1}{q-1}} \quad &= cn^{\log_b a-\epsilon}(b^{\epsilon\log_b n}-1)/(b^\epsilon-1) \\
&= cn^{\log_b a-\epsilon}(n^\epsilon-1)/(b^\epsilon-1) \\
&= \frac{c}{b^\epsilon-1} n^{\log_b a}(n^\epsilon-1)/(n^\epsilon)
\end{aligned}
$$

Hence,

$$
T(n) \le \left(\frac{c}{b^\epsilon-1}+1\right) n^{\log_b(a)}
$$

Case 1. Now suppose that $f(n) \le cn^{\log_b a - \epsilon}$.

$$\begin{aligned}
T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n - 1} a^i f\left(\frac{n}{b^i}\right) \\
&\le c \sum_{i=0}^{\log_b n - 1} a^i \left(\frac{n}{b^i}\right)^{\log_b a - \epsilon} \\
\boxed{b^{-i(\log_b a - \epsilon)} = b^{\epsilon i}(b^{\log_b a})^{-i} = b^{\epsilon i} a^{-i}} \quad &= cn^{\log_b a - \epsilon} \sum_{i=0}^{\log_b n - 1} (b^{\epsilon})^i \\
\boxed{\textstyle\sum_{i=0}^{k} q^i = \frac{q^{k+1}-1}{q-1}} \quad &= cn^{\log_b a - \epsilon}(b^{\epsilon \log_b n} - 1)/(b^{\epsilon} - 1) \\
&= cn^{\log_b a - \epsilon}(n^{\epsilon} - 1)/(b^{\epsilon} - 1) \\
&= \frac{c}{b^{\epsilon} - 1} n^{\log_b a}(n^{\epsilon} - 1)/(n^{\epsilon})
\end{aligned}$$

Hence,

$$T(n) \le \left(\frac{c}{b^{\epsilon} - 1} + 1\right) n^{\log_b (a)}$$

$$\boxed{\Rightarrow T(n) = \mathcal{O}(n^{\log_b a}).}$$

Case 2. Now suppose that $f(n) \leq cn^{\log_b a}$.

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$$T(n) - n^{\log_b a} = \sum_{i=0}^{\log_b n - 1} a^i f\left(\frac{n}{b^i}\right)$$

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T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n - 1} a^i f\left(\frac{n}{b^i}\right) \\
&\leq c \sum_{i=0}^{\log_b n - 1} a^i \left(\frac{n}{b^i}\right)^{\log_b a}
\end{aligned}
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T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right) \\
&\le c \sum_{i=0}^{\log_b n-1} a^i \left(\frac{n}{b^i}\right)^{\log_b a} \\
&= cn^{\log_b a} \sum_{i=0}^{\log_b n-1} 1
\end{aligned}
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Hence,

$$T(n) = \mathcal{O}(n^{\log_b a} \log_b n)$$

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&= cn^{\log_b a} \sum_{i=0}^{\log_b n-1} 1 \\
&= cn^{\log_b a} \log_b n
\end{aligned}
$$

Hence,

$$T(n) = \mathcal{O}(n^{\log_b a} \log_b n)$$

$\Rightarrow T(n) = \mathcal{O}(n^{\log_b a} \log n)$.

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$$
\begin{aligned}
T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right) \\
&\geq c \sum_{i=0}^{\log_b n-1} a^i \left(\frac{n}{b^i}\right)^{\log_b a}
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Hence,

$$T(n) = \Omega(n^{\log_b a} \log_b n)$$

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Hence,

$$T(n) = \Omega(n^{\log_b a} \log_b n) \qquad \boxed{\Rightarrow T(n) = \Omega(n^{\log_b a} \log n).}$$

Case 2. Now suppose that $f(n) \leq cn^{\log_b a}(\log_b(n))^k$.

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$$\boxed{n = b^\ell \Rightarrow \ell = \log_b n}$$

Case 2. Now suppose that $f(n) \le cn^{\log_b a}(\log_b(n))^k$.

$$T(n) - n^{\log_b a} = \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right)$$

$$\le c \sum_{i=0}^{\log_b n-1} a^i \left(\frac{n}{b^i}\right)^{\log_b a} \cdot \left(\log_b\left(\frac{n}{b^i}\right)\right)^k$$

$$\boxed{n = b^\ell \Rightarrow \ell = \log_b n} \quad = cn^{\log_b a} \sum_{i=0}^{\ell-1} \left(\log_b\left(\frac{b^\ell}{b^i}\right)\right)^k$$

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$$T(n) - n^{\log_b a} = \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right)$$

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$\boxed{n = b^\ell \Rightarrow \ell = \log_b n}$

$$= cn^{\log_b a} \sum_{i=0}^{\ell-1} \left(\log_b\left(\frac{b^\ell}{b^i}\right)\right)^k$$

$$= cn^{\log_b a} \sum_{i=0}^{\ell-1} (\ell - i)^k$$

Case 2. Now suppose that $f(n) \le cn^{\log_b a}(\log_b(n))^k$.

$$\begin{aligned}
T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right)\\
&\le c \sum_{i=0}^{\log_b n-1} a^i \left(\frac{n}{b^i}\right)^{\log_b a} \cdot \left(\log_b\left(\frac{n}{b^i}\right)\right)^k\\
\boxed{n = b^\ell \Rightarrow \ell = \log_b n} \qquad &= cn^{\log_b a} \sum_{i=0}^{\ell-1} \left(\log_b\left(\frac{b^\ell}{b^i}\right)\right)^k\\
&= cn^{\log_b a} \sum_{i=0}^{\ell-1} (\ell - i)^k\\
&= cn^{\log_b a} \sum_{i=1}^{\ell} i^k
\end{aligned}$$

Case 2. Now suppose that $f(n) \le cn^{\log_b a}(\log_b(n))^k$.

$$\begin{aligned}
T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right)\\
&\le c \sum_{i=0}^{\log_b n-1} a^i \left(\frac{n}{b^i}\right)^{\log_b a} \cdot \left(\log_b\left(\frac{n}{b^i}\right)\right)^k\\
&= cn^{\log_b a} \sum_{i=0}^{\ell-1} \left(\log_b\left(\frac{b^\ell}{b^i}\right)\right)^k\\
&= cn^{\log_b a} \sum_{i=0}^{\ell-1} (\ell - i)^k\\
&= cn^{\log_b a} \boxed{\sum_{i=1}^{\ell} i^k} \approx \tfrac{1}{k}\ell^{k+1}
\end{aligned}$$

$\boxed{n = b^\ell \Rightarrow \ell = \log_b n}$

Case 2. Now suppose that $f(n) \le cn^{\log_b a}(\log_b(n))^k$.

$$\boxed{n = b^\ell \Rightarrow \ell = \log_b n}$$

$$\begin{aligned}
T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right)\\
&\le c \sum_{i=0}^{\log_b n-1} a^i \left(\frac{n}{b^i}\right)^{\log_b a} \cdot \left(\log_b\left(\frac{n}{b^i}\right)\right)^k\\
&= cn^{\log_b a} \sum_{i=0}^{\ell-1}\left(\log_b\left(\frac{b^\ell}{b^i}\right)\right)^k\\
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&\approx \frac{c}{k} n^{\log_b a} \ell^{k+1}
\end{aligned}$$

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T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right)\\
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&= cn^{\log_b a} \sum_{i=0}^{\ell-1} \left(\log_b\left(\frac{b^\ell}{b^i}\right)\right)^k\\
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&= cn^{\log_b a} \sum_{i=1}^{\ell} i^k\\
&\approx \frac{c}{k} n^{\log_b a} \ell^{k+1}
\end{aligned}$$

$$\boxed{n = b^\ell \Rightarrow \ell = \log_b n}$$

$$\boxed{\Rightarrow T(n) = \mathcal{O}(n^{\log_b a} \log^{k+1} n).}$$

Case 3. Now suppose that $f(n) \geq dn^{\log_b a+\epsilon}$, and that for sufficiently large n: $af(n/b) \leq cf(n)$, for $c < 1$.

Where did we use $f(n) \geq \Omega(n^{\log_b a+\epsilon})$?

Case 3. Now suppose that $f(n) \geq dn^{\log_b a+\epsilon}$, and that for sufficiently large n: $af(n/b) \leq cf(n)$, for $c < 1$.

From this we get $a^i f(n/b^i) \leq c^i f(n)$, where we assume that $n/b^{i-1} \geq n_0$ is still sufficiently large.

Where did we use $f(n) \geq \Omega(n^{\log_b a+\epsilon})$?

Case 3. Now suppose that $f(n) \geq dn^{\log_b a+\epsilon}$, and that for sufficiently large n: $af(n/b) \leq cf(n)$, for $c < 1$.

From this we get $a^i f(n/b^i) \leq c^i f(n)$, where we assume that $n/b^{i-1} \geq n_0$ is still sufficiently large.

$$T(n) - n^{\log_b a} = \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right)$$

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$$\begin{aligned} T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right) \\ &\leq \sum_{i=0}^{\log_b n-1} c^i f(n) + \mathcal{O}(n^{\log_b a}) \end{aligned}$$

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\end{aligned}
$$

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Hence,

$$T(n) \leq \mathcal{O}(f(n))$$

$$\boxed{\Rightarrow T(n) = \Theta(f(n)).}$$

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Example: Multiplying Two Integers

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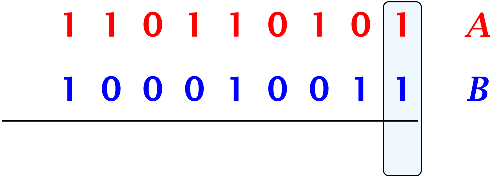

$$\begin{array}{ccccccccc|c}
1 & 1 & 0 & 1 & 1 & 0 & 1 & 0 & 1 & A \\
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\hline
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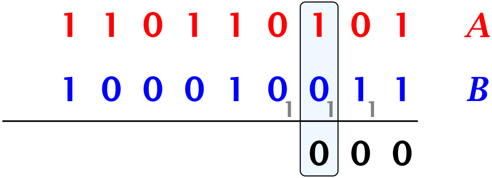

1	1	0	1	1	0	1	0	1	A
1	0	0	0	1	0	0	1	1	B
					1	1	1		
						0	0	0	

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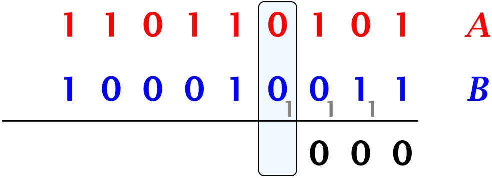

1	1	0	1	1	0	1	0	1	A
1	0	0	0	1	0	0	1	1	B
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 & & & & {}_0 & {}_1 & {}_1 & {}_1 & & & \\
\hline
 & & & & & 1 & 0 & 0 & 0 & &
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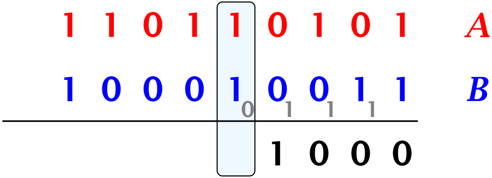

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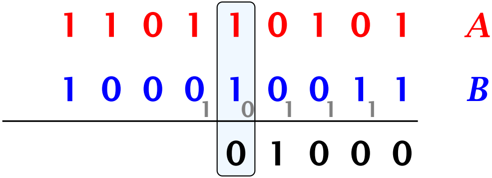

$$\begin{array}{ccccccccccc}
1 & 1 & 0 & 1 & \boxed{1} & 0 & 1 & 0 & 1 & & A \\
1 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 1 & & B \\
 & & & {}_{1} & {}_{0} & {}_{1} & {}_{1} & {}_{1} & & & \\
\hline
 & & & & 0 & 1 & 0 & 0 & 0 & &
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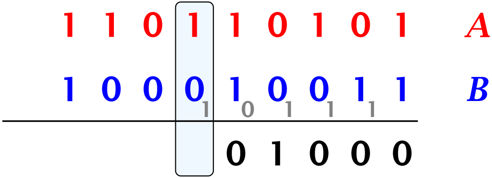

1	1	0	1	1	0	1	0	1	A
1	0	0	0	1	0	0	1	1	B
			1	0	1	1	1		
				0	1	0	0	0	

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$$\begin{array}{ccccccccccc} 1&1&0&1&1&0&1&0&1&&A \\ 1&0&0&0&1&0&0&1&1&&B \\ &&1&1&0&1&1&1&&& \\ \hline &&&0&0&1&0&0&0&& \end{array}$$

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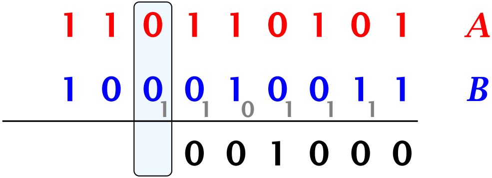

1	1	0	1	1	0	1	0	1	A
1	0	0	0	1	0	0	1	1	B
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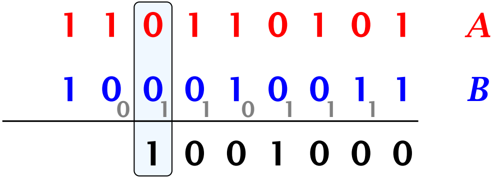

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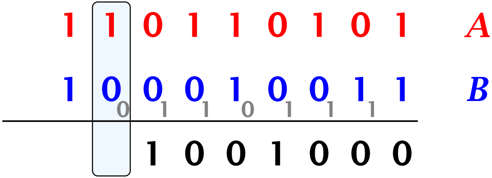

1	1	0	1	1	0	1	0	1	A
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1 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 1 & & B \\
{\scriptstyle 0} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 1} & & & \\
\hline
 & 1 & 1 & 0 & 0 & 1 & 0 & 0 & 0 & &
\end{array}$$

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 & 1 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 1 & & B \\
1 & 0 & 0 & 1 & 1 & 0 & 1 & 1 & 1 & & & \\
\hline
 & 0 & 1 & 1 & 0 & 0 & 1 & 0 & 0 & 0 & &
\end{array}
$$

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 & 1 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 1 & & B \\
 {\scriptstyle 1} & {\scriptstyle 0} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 1} & & & \\
\hline
1 & 0 & 1 & 1 & 0 & 0 & 1 & 0 & 0 & 0 & &
\end{array}$$

This gives that two n-bit integers can be added in time $\mathcal{O}(n)$.

Example: Multiplying Two Integers

Suppose that we want to multiply an n-bit integer A and an m-bit integer B ($m \leq n$).

- This is also nown as the “school method” for multiplying integers.
- Note that the intermediate numbers that are generated can have at most $m + n \leq 2n$ bits.

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Suppose that we want to multiply an n-bit integer A and an m-bit integer B ($m \leq n$).

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\hline
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 & & & & & 1 & 0 & 0 & 0 & 1 \\
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\hline
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\hline
 & & & & & 1 & 0 & 0 & 0 & 1 \\
 & & & & 1 & 0 & 0 & 0 & 1 & 0 \\
 & & & 0 & 0 & 0 & 0 & 0 & 0 & 0
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\hline
 & & & & & 1 & 0 & 0 & 0 & 1 \\
 & & & & 1 & 0 & 0 & 0 & 1 & 0 \\
 & & & 0 & 0 & 0 & 0 & 0 & 0 & 0 \\
 & & & & & & & 0 & 0 & 0
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$$
\begin{array}{r}
1\ 0\ 0\ 0\ 1\ \times\ \boxed{1}\ 0\ 1\ 1 \\
\hline
1\ 0\ 0\ 0\ 1 \\
1\ 0\ 0\ 0\ 1\ 0 \\
0\ 0\ 0\ 0\ 0\ 0\ 0 \\
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Suppose that we want to multiply an n-bit integer A and an m-bit integer B ($m \leq n$).

$$\begin{array}{rrrrrrrrrr}
1 & 0 & 0 & 0 & 1 & \times & 1 & 0 & 1 & 1 \\
\hline
 & & & & & 1 & 0 & 0 & 0 & 1 \\
 & & & & 1 & 0 & 0 & 0 & 1 & 0 \\
 & & & 0 & 0 & 0 & 0 & 0 & 0 & 0 \\
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\hline
 & & 1 & 0 & 1 & 1 & 1 & 0 & 1 & 1
\end{array}$$

- This is also nown as the “school method” for multiplying integers.
- Note that the intermediate numbers that are generated can have at most $m + n \leq 2n$ bits.

Time requirement:

Example: Multiplying Two Integers

Suppose that we want to multiply an n-bit integer A and an m-bit integer B ($m \leq n$).

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\hline
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- Computing intermediate results: $\mathcal{O}(nm)$.
- Adding m numbers of length $\leq 2n$: $\mathcal{O}((m+n)m) = \mathcal{O}(nm)$.

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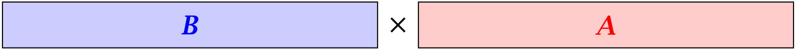

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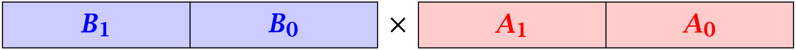

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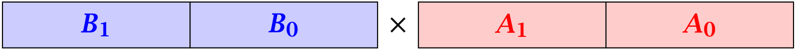

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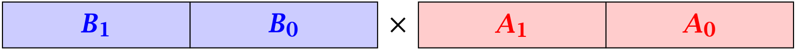

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Hence,

$$A \cdot B = A_1 B_1 \cdot 2^n + (A_1 B_0 + A_0 B_1) \cdot 2^{\frac{n}{2}} + A_0 B_0$$

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if $|A| = |B| = 1$ then
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We get the following recurrence:

$$T(n) = 4T\left(\frac{n}{2}\right) + \mathcal{O}(n) \ .$$

Example: Multiplying Two Integers

Master Theorem: Recurrence: $T[n] = aT(\frac{n}{b}) + f(n)$.

- Case 1: $f(n) = \mathcal{O}(n^{\log_b a-\epsilon})$ $\quad T(n) = \Theta(n^{\log_b a})$
- Case 2: $f(n) = \Theta(n^{\log_b a}\log^k n)$ $\quad T(n) = \Theta(n^{\log_b a}\log^{k+1} n)$
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In our case $a = 4$, $b = 2$, and $f(n) = \Theta(n)$. Hence, we are in Case 1, since $n = \mathcal{O}(n^{2-\epsilon}) = \mathcal{O}(n^{\log_b a - \epsilon})$.

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$\Longrightarrow$ Not better then the "school method".

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We can use the following identity to compute Z_1:

A more precise (correct) analysis would say that computing Z_1 needs time $T(\frac{n}{2}+1)+\mathcal{O}(n)$.

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Algorithm 4 mult(A, B)

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if $|A| = |B| = 1$ then                                  $\mathcal{O}(1)$
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split $A$ into $A_0$ and $A_1$                          $\mathcal{O}(n)$
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$Z_2 \leftarrow$ mult$(A_1, B_1)$                       $T(\frac{n}{2})$
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- Case 1: $f(n) = \mathcal{O}(n^{\log_b a - \epsilon})$ $T(n) = \Theta(n^{\log_b a})$
- Case 2: $f(n) = \Theta(n^{\log_b a} \log^k n)$ $T(n) = \Theta(n^{\log_b a} \log^{k+1} n)$
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A huge improvement over the “school method”.

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Consider the recurrence relation:

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Note that we ignore boundary conditions for the moment.

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Approach:

- First determine all solutions that satisfy recurrence relation.
- Then pick the right one by analyzing boundary conditions.
- First consider the homogenous case.

The Homogenous Case

The solution space

$$S = \Big\{ \mathcal{T} = T[1], T[2], T[3], \ldots \;\Big|\; \mathcal{T} \text{ fulfills recurrence relation} \Big\}$$

is a vector space.

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How do we find a non-trivial solution?

We guess that the solution is of the form λ^n, $\lambda \neq 0$, and see what happens. In order for this guess to fulfill the recurrence we need

$$c_0\lambda^n + c_1\lambda^{n-1} + c_2 \cdot \lambda^{n-2} + \cdots + c_k \cdot \lambda^{n-k} = 0$$

for all $n \geq k$.

The Homogenous Case

Dividing by λ^{n-k} gives that all these constraints are identical to

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Let $\lambda_1, \dots, \lambda_k$ be the k (complex) roots of $P[\lambda]$. Then, because of the vector space property

$$\alpha_1\lambda_1^n + \alpha_2\lambda_2^n + \cdots + \alpha_k\lambda_k^n$$

is a solution for arbitrary values α_i.

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Lemma 6

Assume that the characteristic polynomial has k distinct roots $\lambda_1, \dots, \lambda_k$. Then all solutions to the recurrence relation are of the form

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There is one solution for every possible choice of boundary conditions for $T[1], \dots, T[k]$.

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We show that the above set of solutions contains one solution for every choice of boundary conditions.

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Proof (cont.).

Suppose I am given boundary conditions $T[i]$ and I want to see whether I can choose the $\alpha_i's$ such that these conditions are met:

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We show that the column vectors are linearly independent. Then the above equation has a solution.

Computing the Determinant

$$\begin{vmatrix} \lambda_1 & \lambda_2 & \cdots & \lambda_{k-1} & \lambda_k \\ \lambda_1^2 & \lambda_2^2 & \cdots & \lambda_{k-1}^2 & \lambda_k^2 \\ \vdots & \vdots & & \vdots & \vdots \\ \lambda_1^k & \lambda_2^k & \cdots & \lambda_{k-1}^k & \lambda_k^k \end{vmatrix} =$$

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$$= \prod_{i=1}^{k} \lambda_i \cdot \begin{vmatrix} 1 & \lambda_1 & \cdots & \lambda_1^{k-2} & \lambda_1^{k-1} \\ 1 & \lambda_2 & \cdots & \lambda_2^{k-2} & \lambda_2^{k-1} \\ \vdots & \vdots & & \vdots & \vdots \\ 1 & \lambda_k & \cdots & \lambda_k^{k-2} & \lambda_k^{k-1} \end{vmatrix}$$

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Computing the Determinant

$$\begin{vmatrix} 1 & 0 & \cdots & 0 & 0 \\ 1 & (\lambda_2-\lambda_1)\cdot 1 & \cdots & (\lambda_2-\lambda_1)\cdot\lambda_2^{k-3} & (\lambda_2-\lambda_1)\cdot\lambda_2^{k-2} \\ \vdots & \vdots & & \vdots & \vdots \\ 1 & (\lambda_k-\lambda_1)\cdot 1 & \cdots & (\lambda_k-\lambda_1)\cdot\lambda_k^{k-3} & (\lambda_k-\lambda_1)\cdot\lambda_k^{k-2} \end{vmatrix} =$$

$$\prod_{i=2}^{k}(\lambda_i-\lambda_1)\cdot\begin{vmatrix} 1 & \lambda_2 & \cdots & \lambda_2^{k-3} & \lambda_2^{k-2} \\ \vdots & \vdots & & \vdots & \vdots \\ 1 & \lambda_k & \cdots & \lambda_k^{k-3} & \lambda_k^{k-2} \end{vmatrix}$$

Computing the Determinant

Repeating the above steps gives:

$$\begin{vmatrix} \lambda_1 & \lambda_2 & \cdots & \lambda_{k-1} & \lambda_k \\ \lambda_1^2 & \lambda_2^2 & \cdots & \lambda_{k-1}^2 & \lambda_k^2 \\ \vdots & \vdots & & \vdots & \vdots \\ \lambda_1^k & \lambda_2^k & \cdots & \lambda_{k-1}^k & \lambda_k^k \end{vmatrix} = \prod_{i=1}^{k} \lambda_i \cdot \prod_{i>\ell} (\lambda_i - \lambda_\ell)$$

Hence, if all λ_i's are different, then the determinant is non-zero.

The Homogeneous Case

What happens if the roots are not all distinct?

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Suppose we have a root λ_i with multiplicity (Vielfachheit) at least 2. Then not only is λ_i^n a solution to the recurrence but also $n\lambda_i^n$.

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To see this consider the polynomial

$$P[\lambda] \cdot \lambda^{n-k} = c_0\lambda^n + c_1\lambda^{n-1} + c_2\lambda^{n-2} + \cdots + c_k\lambda^{n-k}$$

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Since λ_i is a root we can write this as $Q[\lambda] \cdot (\lambda - \lambda_i)^2$. Calculating the derivative gives a polynomial that still has root λ_i.

This means

$$c_0 n\lambda_i^{n-1} + c_1(n-1)\lambda_i^{n-2} + \cdots + c_k(n-k)\lambda_i^{n-k-1} = 0$$

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Hence,

$$c_0 \underbrace{n\lambda_i^{n}}_{T[n]} + c_1 \underbrace{(n-1)\lambda_i^{n-1}}_{T[n-1]} + \cdots + c_k \underbrace{(n-k)\lambda_i^{n-k}}_{T[n-k]} = 0$$

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We can continue $j-1$ times.

Hence, $n^\ell\lambda_i^n$ is a solution for $\ell \in 0,\dots,j-1$.

The Homogeneous Case

Lemma 7

Let $P[\lambda]$ denote the characteristic polynomial to the recurrence

$$c_0T[n] + c_1T[n-1] + \cdots + c_kT[n-k] = 0$$

Let λ_i, $i = 1, \ldots, m$ be the (complex) roots of $P[\lambda]$ with multiplicities ℓ_i. Then the general solution to the recurrence is given by

$$T[n] = \sum_{i=1}^{m} \sum_{j=0}^{\ell_i - 1} \alpha_{ij} \cdot (n^j \lambda_i^n) \ .$$

The full proof is omitted. We have only shown that any choice of α_{ij}'s is a solution to the recurrence.

Example: Fibonacci Sequence

$$
\begin{aligned}
T[0] &= 0 \\
T[1] &= 1 \\
T[n] &= T[n-1] + T[n-2] \text{ for } n \geq 2
\end{aligned}
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Finding the roots, gives

$$\lambda_{1/2} = \frac{1}{2} \pm \sqrt{\frac{1}{4} + 1} = \frac{1}{2}\left(1 \pm \sqrt{5}\right)$$

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Hence, the solution is of the form

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$$\alpha\left(\frac{1+\sqrt{5}}{2}\right)+\beta\left(\frac{1-\sqrt{5}}{2}\right)=1\Longrightarrow\alpha-\beta=\frac{2}{\sqrt{5}}$$

Example: Fibonacci Sequence

Hence, the solution is

$$\frac{1}{\sqrt{5}}\left[\left(\frac{1+\sqrt{5}}{2}\right)^n-\left(\frac{1-\sqrt{5}}{2}\right)^n\right]$$

The Inhomogeneous Case

Consider the recurrence relation:

$$c_0T(n) + c_1T(n-1) + c_2T(n-2) + \cdots + c_kT(n-k) = f(n)$$

with $f(n) \neq 0$.

While we have a fairly general technique for solving homogeneous, linear recurrence relations the inhomogeneous case is different.

The Inhomogeneous Case

The general solution of the recurrence relation is

$$T(n) = T_h(n) + T_p(n) \ ,$$

where T_h is any solution to the homogeneous equation, and T_p is one particular solution to the inhomogeneous equation.

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There is no general method to find a particular solution.

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$$T[n] = T[n-1] + 1 \qquad T[0] = 1$$

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I get a completely determined recurrence if I add $T[0] = 1$ and $T[1] = 2$.

The Inhomogeneous Case

Example: Characteristic polynomial:

$$\lambda^2 - 2\lambda + 1 = 0$$

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$T[0] = 1$ gives $\alpha = 1$.

$T[1] = 2$ gives $1 + \beta = 2 \Longrightarrow \beta = 1$.

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If $f(n)$ is a polynomial of degree r this method can be applied $r+1$ times to obtain a homogeneous equation:

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Shift:

$$\begin{aligned} T[n-1] &= 2T[n-2] - T[n-3] + 2(n-1) - 1 \\ &= 2T[n-2] - T[n-3] + 2n - 3 \end{aligned}$$

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$$T[n] = 3T[n-1] - 3T[n-2] + T[n-3] + 2$$

and so on...

6.4 Generating Functions

Definition 8 (Generating Function)

Let $(a_n)_{n\geq 0}$ be a sequence. The corresponding

- generating function (Erzeugendenfunktion) is

$$F(z) := \sum_{n\geq 0} a_n z^n \;;$$

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- exponential generating function (exponentielle Erzeugendenfunktion) is
$$F(z) := \sum_{n\geq 0} \frac{a_n}{n!} z^n \ .$$

6.4 Generating Functions

Example 9

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Let $f = \sum_{n\geq 0} a_n z^n$ and $g = \sum_{n\geq 0} b_n z^n$.

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- **Multiplication:** $f \cdot g := \sum_{n\geq 0} c_n z^n$ with $c_n = \sum_{p=0}^{n} a_p b_{n-p}$.

There are no convergence issues here.

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We view a power series as a function $f : \mathbb{C} \to \mathbb{C}$.

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Then, it is important to think about convergence/convergence radius etc.

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It means that the power series $1 - z$ and the power series $\sum_{n\geq 0} z^n$ are invers, i.e.,

$$\left(1 - z\right) \cdot \Big(\sum_{n\geq 0}^{\infty} z^n \Big) = 1 \enspace .$$

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This is well-defined.

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$$\underbrace{\sum_{n\geq 1} nz^{n-1}}_{\sum_{n\geq 0}(n+1)z^n} = \frac{1}{(1-z)^2}$$

6.4 Generating Functions

Formally the derivative of a formal power series $\sum_{n\geq 0} a_n z^n$ is defined as $\sum_{n\geq 0} n a_n z^{n-1}$.

The known rules for differentiation work for this definition. In particular, e.g. the derivative of $\frac{1}{1-z}$ is $\frac{1}{(1-z)^2}$.

Note that this requires a proof if we consider power series as algebraic objects. However, we did not prove this in the lecture.

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Hence, the generating function of the sequence $a_n = n+1$ is $1/(1-z)^2$.

6.4 Generating Functions

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Hence, the generating function of the sequence $a_n = (n+1)(n+2)$ is $\frac{2}{(1-z)^3}$.

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Computing the k-th derivative of $\sum z^n$.

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6.4 Generating Functions

Computing the k-th derivative of $\sum z^n$.

$$\begin{aligned}\sum_{n\geq k} n(n-1)\cdot\ldots\cdot(n-k+1)z^{n-k} &= \sum_{n\geq 0}(n+k)\cdot\ldots\cdot(n+1)z^n \\ &= \frac{k!}{(1-z)^{k+1}} \ .\end{aligned}$$

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$$= \frac{k!}{(1-z)^{k+1}} \enspace .$$

Hence:

$$\sum_{n\geq 0}\binom{n+k}{k}z^n = \frac{1}{(1-z)^{k+1}} \enspace .$$

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Computing the k-th derivative of $\sum z^n$.

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$$= \frac{k!}{(1-z)^{k+1}} \ .$$

Hence:

$$\sum_{n\geq 0}\binom{n+k}{k}z^n = \frac{1}{(1-z)^{k+1}} \ .$$

The generating function of the sequence $a_n = \binom{n+k}{k}$ is $\frac{1}{(1-z)^{k+1}}$.

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The generating function of the sequence $f_n = a^n$ is $\frac{1}{1-az}$.

Example: $a_n = a_{n-1} + 1$, $a_0 = 1$

Suppose we have the recurrence $a_n = a_{n-1} + 1$ for $n \geq 1$ and $a_0 = 1$.

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Hence, $a_n = n + 1$.

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n-th sequence element	*generating function*

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6. The coefficients of the resulting power series are the a_n.

Example: $a_n = 2a_{n-1}$, $a_0 = 1$

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5. Write $f(z)$ as a formal power series:

This leads to the following conditions:

$$\begin{aligned} A + B + C &= 1 \\ 2A + 4B + 3C &= 1 \\ A + 3B &= 1 \end{aligned}$$

Example: $a_n = 3a_{n-1} + n$, $a_0 = 1$

5. Write $f(z)$ as a formal power series:

This leads to the following conditions:

$$\begin{aligned} A + B + C &= 1 \\ 2A + 4B + 3C &= 1 \\ A + 3B &= 1 \end{aligned}$$

which gives

$$A = \frac{7}{4} \quad B = -\frac{1}{4} \quad C = -\frac{1}{2}$$

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&= \frac{7}{4} \cdot \sum_{n\geq 0} 3^n z^n - \frac{1}{4} \cdot \sum_{n\geq 0} z^n - \frac{1}{2} \cdot \sum_{n\geq 0} (n+1) z^n \\
&= \sum_{n\geq 0} \Big(\frac{7}{4} \cdot 3^n - \frac{1}{4} - \frac{1}{2}(n+1)\Big) z^n
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&= \sum_{n\geq 0} \Big(\frac{7}{4} \cdot 3^n - \frac{1}{2} n - \frac{3}{4}\Big) z^n
\end{aligned}$$

6. This means $a_n = \frac{7}{4} 3^n - \frac{1}{2} n - \frac{3}{4}$.

6.5 Transformation of the Recurrence

Example 10

$$
\begin{aligned}
f_0 &= 1 \\
f_1 &= 2 \\
f_n &= f_{n-1} \cdot f_{n-2} \text{ for } n \geq 2 \,.
\end{aligned}
$$

6.5 Transformation of the Recurrence

Example 10

$$\begin{aligned} f_0 &= 1 \\ f_1 &= 2 \\ f_n &= f_{n-1} \cdot f_{n-2} \text{ for } n \geq 2 \;. \end{aligned}$$

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$$g_n := \log f_n \;.$$

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$$f_n = 2^{F_n}$$

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Example 11

$$\begin{aligned} f_1 &= 1 \\ f_n &= 3f_{\frac{n}{2}} + n; \text{ for } n = 2^k,\ k \geq 1\ ; \end{aligned}$$

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$$

Define

$$g_k := f_{2^k} \ .$$

Then:

$$
\begin{aligned}
g_0 &= 1 \\
g_k &= 3g_{k-1} + 2^k, \ k \geq 1
\end{aligned}
$$

6 Recurrences

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$$g_k = 3\left[g_{k-1}\right] + 2^k$$

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&= 3^3 g_{k-3} + 3^2 2^{k-2} + 32^{k-1} + 2^k \\
&= 2^k \cdot \sum_{i=0}^{k} \left(\frac{3}{2}\right)^i
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6 Recurrences

Let $n = 2^k$:

$$
\begin{aligned}
g_k &= 3^{k+1} - 2^{k+1}, \text{ hence} \\
f_n &= 3 \cdot 3^k - 2 \cdot 2^k
\end{aligned}
$$

6 Recurrences

Let $n = 2^k$:

$$\begin{aligned} g_k &= 3^{k+1} - 2^{k+1}, \text{ hence} \\ f_n &= 3 \cdot 3^k - 2 \cdot 2^k \\ &= 3(2^{\log 3})^k - 2 \cdot 2^k \end{aligned}$$

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