

## 6 Recurrences

### Algorithm 2 mergesort(list $L$ )

```
1:  $n \leftarrow \text{size}(L)$ 
2: if  $n \leq 1$  return  $L$ 
3:  $L_1 \leftarrow L[1 \cdots \lfloor \frac{n}{2} \rfloor]$ 
4:  $L_2 \leftarrow L[\lfloor \frac{n}{2} \rfloor + 1 \cdots n]$ 
5: mergesort( $L_1$ )
6: mergesort( $L_2$ )
7:  $L \leftarrow \text{merge}(L_1, L_2)$ 
8: return  $L$ 
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This algorithm requires

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

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

# Recurrences

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

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# 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.

## 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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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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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.



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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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$$\boxed{\log n \leq \frac{n}{4}} \leq dn \log n + (\log 9 - 3.5)dn + cn$$

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$$\left\lceil \frac{n}{2} \right\rceil \leq \frac{n}{2} + 1$$

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for a suitable choice of  $d$ .



## 6.2 Master Theorem

Note that the cases do not cover all possibilities.

### Lemma 1

Let  $a \geq 1$ ,  $b \geq 1$  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  $n$   
 $af\left(\frac{n}{b}\right) \leq cf(n)$  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  $b^{\ell}$ , 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:

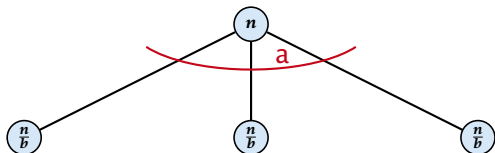
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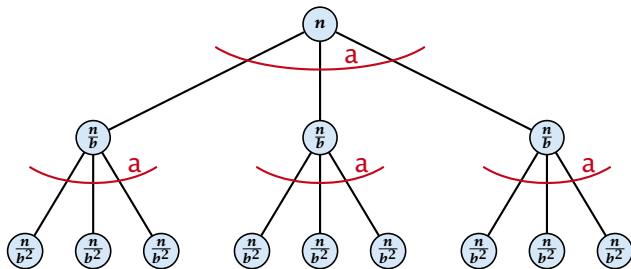
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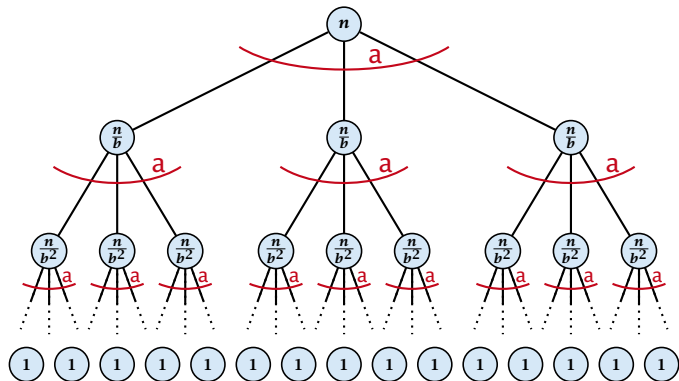
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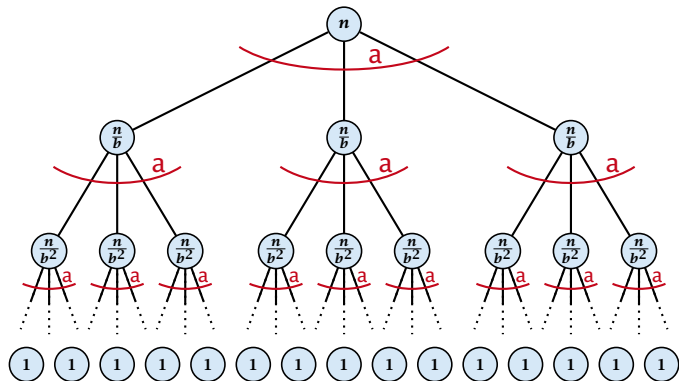
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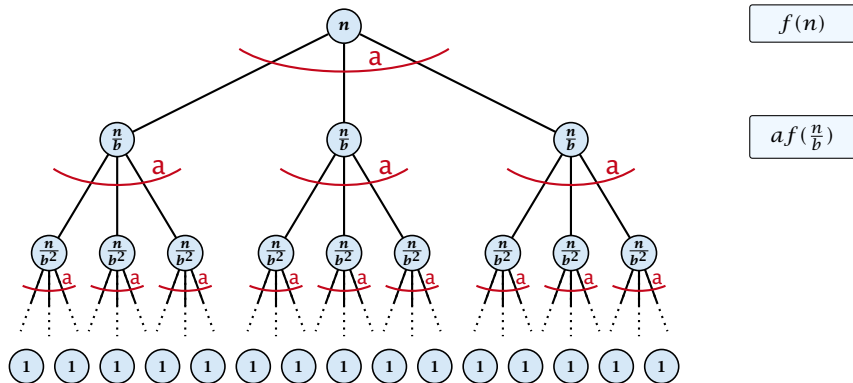


$f(n)$



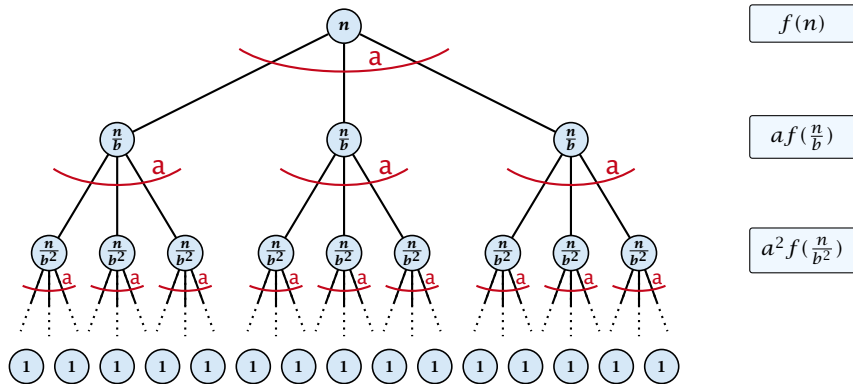
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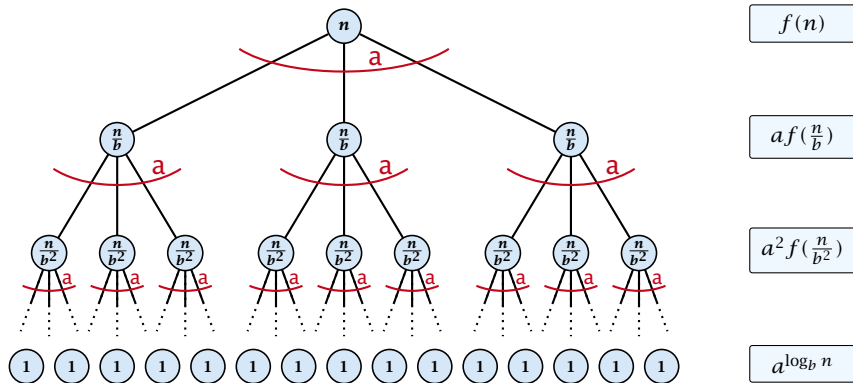
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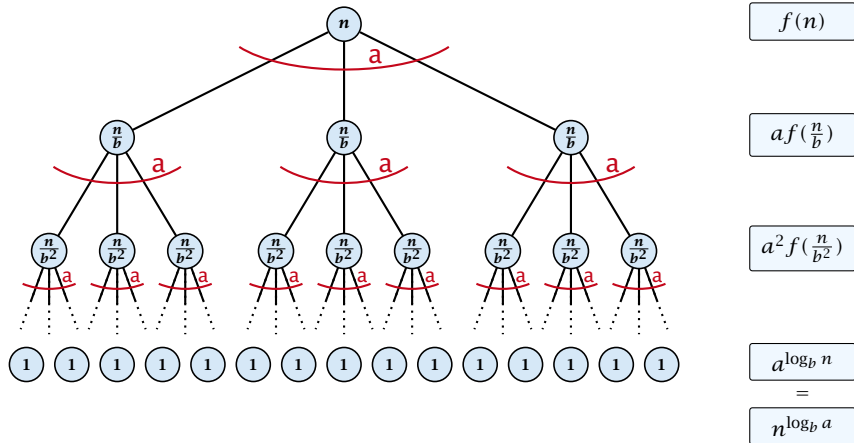
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## 6.2 Master Theorem

This gives

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

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

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

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  $c < 1$ .

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Hence,

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$$\Rightarrow T(n) = \Theta(f(n)).$$

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<hr/>									
								1	



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1	0	0	0	1	0	0	1	1	$B$
<hr/>						0	0	0	

The diagram illustrates the addition of two 9-bit integers, A and B. The bits of A are 1 1 0 1 1 0 1 0 1 and the bits of B are 1 0 0 0 1 0 0 1 1. A horizontal line is drawn under the 6th bit of B. The result of the addition is shown below the line, with a carry of 1 from the 6th bit of B to the 7th bit of the result. The result bits are 0 0 0.

## Example: Multiplying Two Integers

Suppose we want to multiply two  $n$ -bit Integers, but our registers can only perform operations on integers of constant size.

For this we first need to be able to add two integers  $A$  and  $B$ :

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

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

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-----				0	1	0	0	0	

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The diagram illustrates the addition of two 9-bit integers, A and B, to produce a 9-bit result. The numbers are aligned to the right. A vertical box highlights the 4th bit position (from the right), which contains a '1' from A and a '0' from B. Below the horizontal line, the result bits are shown: '0' in the 4th position, '0' in the 5th, '1' in the 6th, '0' in the 7th, '0' in the 8th, and '0' in the 9th. Small subscripts '1' and '0' are placed below the 3rd and 4th bits of the result, respectively, indicating carry propagation.

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1	0	0	0	1	0	0	1	1	$B$
<hr/>									
			1	1	0	1	1	1	
			0	0	1	0	0	0	

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The diagram illustrates the addition of two 9-bit integers, A and B. The bits of A are 1 1 0 1 1 0 1 0 1 and the bits of B are 1 0 0 0 1 0 0 1 1. A horizontal line is drawn under the bits of B. The result of the addition is shown below the line: 1 0 0 1 0 0 0. A vertical blue box highlights the first two bits of the input (1 1) and the first bit of the result (1). Small subscripts are placed below the bits of the result: 0 under the first bit, 1 under the second, 1 under the third, 0 under the fourth, 1 under the fifth, 1 under the sixth, 1 under the seventh, and 1 under the eighth.

## Example: Multiplying Two Integers

Suppose we want to multiply two  $n$ -bit Integers, but our registers can only perform operations on integers of constant size.

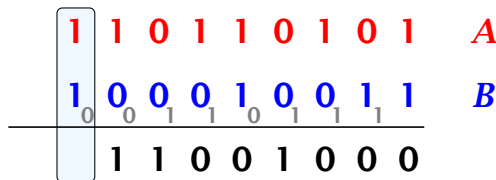
For this we first need to be able to add two integers  $A$  and  $B$ :

	1	1	0	1	1	0	1	0	1	$A$
	1	0	0	0	1	0	0	1	1	$B$
	<small>0</small>	<small>0</small>	<small>1</small>	<small>1</small>	<small>0</small>	<small>1</small>	<small>1</small>	<small>1</small>		
<hr/>										
	1	1	0	0	1	0	0	0		

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		1	0	0	0	1	0	0	1	1	$B$
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		0	1	1	0	0	1	0	0	0	

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	<hr/>									
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$$\begin{array}{r} 1\ 1\ 0\ 1\ 1\ 0\ 1\ 0\ 1\ A \\ 1\ 0\ 0\ 0\ 1\ 0\ 0\ 1\ 1\ B \\ \hline 1\ 0\ 1\ 1\ 0\ 0\ 1\ 0\ 0\ 0 \end{array}$$

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 known 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  $B$  ( $m \leq n$ ).

$$\begin{array}{r} 10001 \\ \times 1011 \\ \hline \end{array}$$

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$$\begin{array}{r} 1\ 0\ 0\ 0\ 1 \times 1\ 0\ 1\ 1 \\ \hline 1\ 0\ 0\ 0\ 1 \\ \phantom{1\ 0\ 0\ 0\ 1} 0 \\ \phantom{1\ 0\ 0\ 0\ 1} 0 \end{array}$$

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$$\begin{array}{r} 10001 \times 1011 \\ \hline 10001 \\ 100010 \\ 0000000 \\ 10001000 \\ \hline 11001101 \end{array}$$

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**Time requirement:**

## Example: Multiplying Two Integers

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**Time requirement:**

- ▶ Computing intermediate results:  $\mathcal{O}(nm)$ .

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- This is also known as the “school method” for multiplying integers.
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### Time requirement:

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

## Example: Multiplying Two Integers

**A recursive approach:**

Suppose that integers  $A$  and  $B$  are of length  $n = 2^k$ , for some  $k$ .

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$$\boxed{b_{n-1} \quad \dots \quad b_0} \times \boxed{a_{n-1} \quad \dots \quad a_0}$$

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$$\begin{array}{|c|c|} \hline B_1 & B_0 \\ \hline \end{array} \times \begin{array}{|c|c|} \hline A_1 & A_0 \\ \hline \end{array}$$

## Example: Multiplying Two Integers

**A recursive approach:**

Suppose that integers  $A$  and  $B$  are of length  $n = 2^k$ , for some  $k$ .



Then it holds that

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

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Hence,

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

## Example: Multiplying Two Integers

### Algorithm 3 $\text{mult}(A, B)$

```
1: if  $|A| = |B| = 1$  then  
2:   return  $a_0 \cdot b_0$   
3: split  $A$  into  $A_0$  and  $A_1$   
4: split  $B$  into  $B_0$  and  $B_1$   
5:  $Z_2 \leftarrow \text{mult}(A_1, B_1)$   
6:  $Z_1 \leftarrow \text{mult}(A_1, B_0) + \text{mult}(A_0, B_1)$   
7:  $Z_0 \leftarrow \text{mult}(A_0, B_0)$   
8: return  $Z_2 \cdot 2^n + Z_1 \cdot 2^{\frac{n}{2}} + Z_0$ 
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$\mathcal{O}(1)$

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$\mathcal{O}(n)$

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$\mathcal{O}(1)$

$\mathcal{O}(1)$

$\mathcal{O}(n)$

$\mathcal{O}(n)$

$T(\frac{n}{2})$

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4: split  $B$  into  $B_0$  and  $B_1$

$\mathcal{O}(n)$

5:  $Z_2 \leftarrow \text{mult}(A_1, B_1)$

$T(\frac{n}{2})$

6:  $Z_1 \leftarrow \text{mult}(A_1, B_0) + \text{mult}(A_0, B_1)$

$2T(\frac{n}{2}) + \mathcal{O}(n)$

7:  $Z_0 \leftarrow \text{mult}(A_0, B_0)$

8: **return**  $Z_2 \cdot 2^n + Z_1 \cdot 2^{\frac{n}{2}} + Z_0$

## Example: Multiplying Two Integers

### Algorithm 3 $\text{mult}(A, B)$

1: **if**  $|A| = |B| = 1$  **then**

$\mathcal{O}(1)$

2:     **return**  $a_0 \cdot b_0$

$\mathcal{O}(1)$

3: split  $A$  into  $A_0$  and  $A_1$

$\mathcal{O}(n)$

4: split  $B$  into  $B_0$  and  $B_1$

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5:  $Z_2 \leftarrow \text{mult}(A_1, B_1)$

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$T(\frac{n}{2})$

8: **return**  $Z_2 \cdot 2^n + Z_1 \cdot 2^{\frac{n}{2}} + Z_0$

## Example: Multiplying Two Integers

### Algorithm 3 $\text{mult}(A, B)$

1: <b>if</b> $ A  =  B  = 1$ <b>then</b>	$\mathcal{O}(1)$
2: <b>return</b> $a_0 \cdot b_0$	$\mathcal{O}(1)$
3: split $A$ into $A_0$ and $A_1$	$\mathcal{O}(n)$
4: split $B$ into $B_0$ and $B_1$	$\mathcal{O}(n)$
5: $Z_2 \leftarrow \text{mult}(A_1, B_1)$	$T\left(\frac{n}{2}\right)$
6: $Z_1 \leftarrow \text{mult}(A_1, B_0) + \text{mult}(A_0, B_1)$	$2T\left(\frac{n}{2}\right) + \mathcal{O}(n)$
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## Example: Multiplying Two Integers

### Algorithm 3 $\text{mult}(A, B)$

1: <b>if</b> $ A  =  B  = 1$ <b>then</b>	$\mathcal{O}(1)$
2: <b>return</b> $a_0 \cdot b_0$	$\mathcal{O}(1)$
3: split $A$ into $A_0$ and $A_1$	$\mathcal{O}(n)$
4: split $B$ into $B_0$ and $B_1$	$\mathcal{O}(n)$
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8: <b>return</b> $Z_2 \cdot 2^n + Z_1 \cdot 2^{\frac{n}{2}} + Z_0$	$\mathcal{O}(n)$

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:  $f(n) = \mathcal{O}(n^{\log_b a - \epsilon})$        $T(n) = \Theta(n^{\log_b a})$
- ▶ 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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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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We get a running time of  $\mathcal{O}(n^2)$  for our algorithm.

## Example: Multiplying Two Integers

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

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

We get a running time of  $\mathcal{O}(n^2)$  for our algorithm.

⇒ Not better than the “school method”.

## Example: Multiplying Two Integers

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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We can use the following identity to compute  $Z_1$ :

$$Z_1 = A_1B_0 + A_0B_1$$

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## Example: Multiplying Two Integers

We can use the following identity to compute  $Z_1$ :

$$\begin{aligned}Z_1 &= A_1B_0 + A_0B_1 \\ &= (A_0 + A_1) \cdot (B_0 + B_1) - A_1B_1 - A_0B_0\end{aligned}$$

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Hence,

### Algorithm 4 mult( $A, B$ )

```
1: if  $|A| = |B| = 1$  then
2:   return  $a_0 \cdot b_0$ 
3: split  $A$  into  $A_0$  and  $A_1$ 
4: split  $B$  into  $B_0$  and  $B_1$ 
5:  $Z_2 \leftarrow \text{mult}(A_1, B_1)$ 
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8: return  $Z_2 \cdot 2^n + Z_1 \cdot 2^{\frac{n}{2}} + Z_0$ 
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$\mathcal{O}(1)$

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$\mathcal{O}(1)$

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3: split $A$ into $A_0$ and $A_1$	$\mathcal{O}(n)$
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3: split  $A$  into  $A_0$  and  $A_1$

$\mathcal{O}(n)$

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$T(\frac{n}{2})$

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$\mathcal{O}(1)$

$\mathcal{O}(1)$

$\mathcal{O}(n)$

$\mathcal{O}(n)$

$T(\frac{n}{2})$

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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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Hence,

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$\mathcal{O}(1)$

$\mathcal{O}(1)$

$\mathcal{O}(n)$

$\mathcal{O}(n)$

$T(\frac{n}{2})$

$T(\frac{n}{2})$

$T(\frac{n}{2}) + \mathcal{O}(n)$

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Hence,

### Algorithm 4 mult( $A, B$ )

1: <b>if</b> $ A  =  B  = 1$ <b>then</b>	$\mathcal{O}(1)$
2: <b>return</b> $a_0 \cdot b_0$	$\mathcal{O}(1)$
3: split $A$ into $A_0$ and $A_1$	$\mathcal{O}(n)$
4: split $B$ into $B_0$ and $B_1$	$\mathcal{O}(n)$
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6: $Z_0 \leftarrow \text{mult}(A_0, B_0)$	$T(\frac{n}{2})$
7: $Z_1 \leftarrow \text{mult}(A_0 + A_1, B_0 + B_1) - Z_2 - Z_0$	$T(\frac{n}{2}) + \mathcal{O}(n)$
8: <b>return</b> $Z_2 \cdot 2^n + Z_1 \cdot 2^{\frac{n}{2}} + Z_0$	$\mathcal{O}(n)$

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

## Example: Multiplying Two Integers

We get the following recurrence:

$$T(n) = 3T\left(\frac{n}{2}\right) + \mathcal{O}(n) .$$

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

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Again we are in Case 1. We get a running time of  $\Theta(n^{\log_2 3}) \approx \Theta(n^{1.59})$ .

A huge improvement over the "school method".

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## 6.3 The Characteristic Polynomial

Consider the recurrence relation:

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

This is the general form of a **linear** recurrence relation of **order**  $k$  with constant coefficients ( $c_0, c_k \neq 0$ ).

The recurrence is **linear** as there are no products of  $T(n)$  values. The recurrence is of **order**  $k$  as the recurrence relation is of order  $k$ .

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# The Homogenous Case

The solution space

$$S = \left\{ \mathcal{T} = T[1], T[2], T[3], \dots \mid \mathcal{T} \text{ fulfills recurrence relation} \right\}$$

is a **vector space**. This means that if  $\mathcal{T}_1, \mathcal{T}_2 \in S$ , then also  $\alpha\mathcal{T}_1 + \beta\mathcal{T}_2 \in S$ , for arbitrary constants  $\alpha, \beta$ .

How do we find a non-trivial solution?

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

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

for all  $n \geq k$ .

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

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This means that if  $\lambda_i$  is a root (Nullstelle) of  $P[\lambda]$  then  $T[n] = \lambda_i^n$  is a solution to the recurrence relation.

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

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## Lemma 2

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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## Proof.

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

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

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

# 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  $\lambda_i$ 's are different, then the determinant is non-zero.



# The Homogeneous Case

## What happens if the roots are not all distinct?

Suppose we have a root  $\lambda_i$  with multiplicity (Vielfachheit) at least 2. Then not only is  $\lambda_i^n$  a solution to the recurrence but also  $n\lambda_i^{n-1}$ .

To see this consider the polynomial

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

Since  $\lambda_i$  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  $\lambda_i$ .

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This means

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

Hence,

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

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(after taking the derivative; multiplying with  $\lambda$ ; plugging in  $\lambda_i$ )

Doing this again gives

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

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# The Homogeneous Case

## Lemma 3

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

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

Let  $\lambda_i$ ,  $i = 1, \dots, m$  be the (complex) roots of  $P[\lambda]$  with multiplicities  $\ell_i$ . 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  $\alpha_{ij}$ 's is a solution to the recurrence.

## Example: Fibonacci Sequence

$$T[0] = 0$$

$$T[1] = 1$$

$$T[n] = T[n - 1] + T[n - 2] \text{ for } n \geq 2$$

The characteristic polynomial is

$$\lambda^2 - \lambda - 1$$

Finding the roots, gives

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

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Hence, the solution is of the form

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

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

## 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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# The Inhomogeneous Case

Example:

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

Then,

$$T[n - 1] = T[n - 2] + 1 \quad (n \geq 2)$$

Subtracting the first from the second equation gives,

$$T[n] - T[n - 1] = T[n - 1] - T[n - 2] \quad (n \geq 2)$$

or

$$T[n] = 2T[n - 1] - T[n - 2] \quad (n \geq 2)$$

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

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

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

## The Inhomogeneous Case

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

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

Shift:

$$T[n - 1] = T[n - 2] + (n - 1)^2$$

Difference:

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Shift:

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

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

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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and so on...

## 6.4 Generating Functions

### Definition 4 (Generating Function)

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

- ▶ **generating function** (Erzeugendenfunktion) is

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

- ▶ **exponential generating function** (exponentielle Erzeugendenfunktion) is

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

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



## 6.4 Generating Functions

### Example 5

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

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What does  $\sum_{n \geq 0} z^n = \frac{1}{1-z}$  mean in the algebraic view?

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

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

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

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

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We know

$$\sum_{n \geq 0} y^n = \frac{1}{1-y}$$

Hence,

$$\sum_{n \geq 0} a^n z^n = \frac{1}{1-az}$$

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2. Transform the right hand side so that boundary condition and recurrence relation can be plugged in.
3. Do further transformations so that the infinite sums on the right hand side can be replaced by  $A(z)$ .
4. Solving for  $A(z)$  gives an equation of the form  $A(z) = f(z)$ , where hopefully  $f(z)$  is a simple function.
5. Write  $f(z)$  as a formal power series.  
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6. The coefficients of the resulting power series are the  $a_n$ .

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$$A(z) = 1 + \sum_{n \geq 1} (2a_{n-1})z^n$$



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which gives

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



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

## 6.5 Transformation of the Recurrence

### Example 6

$$f_0 = 1$$

$$f_1 = 2$$

$$f_n = f_{n-1} \cdot f_{n-2} \text{ for } n \geq 2 .$$

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# 6 Recurrences

Let  $n = 2^k$ :

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