CS109A Notes for Lecture 2/7/96

Analysis of Mergesort

Input size n = length of list to be sorted; $T_{ms}(n)$ = running time of mergesort.

1. Call `split` on list of length n; takes $O(n)$ time (in book).

2. Then, mergesort calls itself on two lists of size $n/2$, taking $2T_{ms}(n/2)$.

3. Finally, call `merge` on two lists of total length n, taking $O(n)$ time (in book).

- When $n = 1$ (basis), there are no calls; mergesort takes $O(1)$ time.

Recurrence

$$T_{ms}(1) = O(1)$$
$$T_{ms}(n) = O(n) + 2T_{ms}(n/2)$$

- Eliminate $O(1)$ and $O(n)$ in favor of concrete constants:

$$T_{ms}(1) = a$$
$$T_{ms}(n) = bn + 2T_{ms}(n/2)$$

Guess-And-Check Solutions

"Guess" the *form* of an upper bound on $T(n)$.

- Try to prove the bound inductively; in the process, we may get some constraints on parameters in the guessed form.

- Statement $S(n)$: (Not quite like pp. 148-9)

$$T_{ms}(n) \le cn \log_2 n + dn$$

- We prove $S(n)$ for n a power of 2.

- c and d are parameters to be discovered.

Basis: If $n = 1$, we have $T_{ms}(1) = a$. If we want $a = T_{ms}(1) \le (c)(1)(\log_2 1) + (d)(1)$ we must have $d \ge a$ because $\log_2 1 = 0$.

Induction: Assume

$$T_{ms}(n/2) \le (cn/2)\log_2(n/2) + dn/2$$

- Then $T_{ms}(n) = bn + 2T_{ms}(n/2) \leq bn + cn(\log_2 n - 1) + dn$.

- We want to show $T_{ms}(n) \leq cn \log_2 n + dn$. Only way: show

  $$bn + cn\log_2 n - cn + dn \leq cn\log_2 n + dn$$

  i.e., $bn \leq cn$.

- Conclusion: Proof goes through if $d \geq a$ and $c \geq b$. e.g., let $d = a$ and $c = b$:

  $$T_{ms}(n) \leq bn\log_2 n + an$$

  i.e., $T_{ms}(n)$ is $O(n \log n)$.

An Exponential Recurrence

How many strings of length n over symbols 0, 1, 2 have no identical, consecutive symbols?

Basis: $T(1) = 3$; they are "0", "1", "2".

Induction: $T(n) = 2T(n-1)$ for $n > 1$. Expand:

$$\begin{aligned} T(n) &= 4T(n-2) \\ T(n) &= 8T(n-3) \\ &\cdots \\ T(n) &= 2^{n-1}T(1) = 3 \times 2^{n-1} \end{aligned}$$

Varieties of Recurrences

$T(n) = f(n) + \binom{1}{2}\binom{T(n-1)}{T(n/2)}$

	$T(n-1)$	$T(n/2)$
1	$nf(n)$ if poly. $f(n)$ for larger	$\log n$ if $f(n) = 1$ $f(n)$ for others
2	exponential	$n \log n$ if $f(n) = n$ $f(n)$ for larger

Linear Recursions

These are recursions in which $T(n)$ is defined in terms of $T(n-a)$ for various integers $a > 0$.

Example: How many strings of a's, b's, and c's are there such that all b's appear in consecutive pairs and all c's appear in consecutive pairs. a's may appear anywhere.

- We can define this set of strings recursively:

Basis: ϵ, the empty string, is acceptable.

Induction: If w is an acceptable string, then so are wa, wbb, and wcc.

- Thus, acceptable strings include a, bb, bba, acc, etc.

- Let $T(n)$ be the number of acceptable strings of length n.

Basis: $T(0) = 1$ and $T(1) = 1$ (the strings ϵ and a, are counted, respectively).

Induction: $T(n) = T(n-1) + 2T(n-2)$. Every acceptable string of length n either is an acceptable string of length $n-1$ followed by a, or an acceptable string of length $n-2$ followed by bb or cc.

Solving Linear Recursions

Expansion doesn't usually work, but guess-and-check works if we know the trick.

- Guess an exponential solution $T(n) = \lambda^n$.

- Substitute this guess for $T(n)$ and $T(n-k)$ for all k's that appear.

- Divide through by λ to the largest possible power.

- Result is a polynomial in λ that equals 0. Solve this equation for possible values of λ, say $\lambda_1, \lambda_2, \ldots, \lambda_r$.

- Assume $T(n) = \sum_{i=1}^{r} c_i \lambda_i$.

- Use basis values to solve for the c_i's.

Example: Consider $T(n) = T(n-1) + 2T(n-2)$.

- Substitute $T(n) = \lambda^n$: $\lambda^n = \lambda^{n-1} + 2\lambda^{n-2}$.

- Divide by λ^{n-2}: $\lambda^2 = \lambda + 2$, or $\lambda^2 - \lambda - 2 = 0$.

- Solve quadratic equation: $\lambda = 2$, $\lambda = -1$.

- Trial solution: $T(n) = \alpha 2^n + \beta(-1)^n$.

- Use basis for $n = 0, 1$: $\alpha + \beta = 1$; $2\alpha - \beta = 1$.
- Solve: $\alpha = 2/3$; $\beta = 1/3$.
- Thus, $T(n) = (2^{n+1} + (-1)^n)/3$.
  - For $n = 2, 3, 4, 5, \ldots$, $T(n) = 3, 5, 11, 21, \ldots$.

Glitch: Multiple Roots of Polynomial

If λ_i appears $k > 1$ times as a root of the polynomial, then you need to use terms λ_i^n, $n\lambda_i^n, \ldots, n^{k-1}\lambda_i^n$.

Example: $T(n) - 4T(n-1) + 4T(n-2) = 0$. Assume basis: $T(0) = 2$; $T(1) = 6$.

- $\lambda = 2$ is a double root.
- Trial solution is $T(n) = \alpha 2^n + \beta n 2^n$.
- Basis gives $\alpha = 2$; $2\alpha + 2\beta = 6$.
- Solution: $T(n) = 2^{n+1} + n2^n$, or

$$T(n) = (n+2)2^n$$