### Lecture 5:

## Solving Recurrences via the Master Method

These slides include material originally prepared by Dr. Ron Cytron, Dr. Jeremy Buhler, and Dr. Steve Cole.



### Announcements

- Exam 1 tomorrow night (see Piazza post for all details)
  - Crib sheet, ID, where to go

- Lab 1 grades posted, Lab 3 grades in progress
  - 1 week regrade request deadline from posting time

• Studio 5 on Thursday as normal

### **Overview: recurrence-solving strategies**

• Problem: given a recurrence for T(n), find a closedform asymptotic complexity function that satisfies the recurrence.

#### • Possible strategies

- Guess and check (a.k.a. substitution)
- Recursion tree accounting (for certain kinds of recurrence)
- Master Method (for certain kinds of recurrence)

### Example: $T(n) = 3T(n/4) + cn^2$ [T(1) = d]

• [The same one we did at the end of last time]

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This time, a = 3, so each node branches 3 ways!





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This time, a = 3, so each node branches 3 ways!

 This time, b = 4, so problem size goes down by factor of 4 per level.







Depth	Problem Size	# Nodes Per Level	Local Work per Node
0	n		
1	n/4		
2	n/16		
j	n/4 <sup>j</sup>		
???	1		7





Depth	Problem Size	# Nodes Per Level	Local Work per Node
0	n	1	
1	n/4	3	
2	n/16	9	
j	n/4 <sup>j</sup>	<b>3</b> j	
log <sub>4</sub> n	1	???	8





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0	n	1	
1	n/4	3	
2	n/16	9	
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log <sub>4</sub> n	1	$3^{\log_4 n}$	9





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log <sub>4</sub> n	1	$n^{\log_4 3}$	10





Depth	Problem Size	# Nodes Per Level	Local Work per Node
0	n	1	cn <sup>2</sup>
1	n/4	3	c(n/4)²
2	n/16	9	c(n/16) <sup>2</sup>
j	n/4 <sup>j</sup>	3 <sup>j</sup>	c(n/4 <sup>j</sup> ) <sup>2</sup>
log₄n	1	$n^{\log_4 3}$	d 11

### $T(n) = 3T(n/4) + cn^2$

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### $T(n) = 3T(n/4) + cn^2$

Depth	Problem Size	# Nodes Per Level	Local Work per Node	Local Work per Level
0	n	1	cn²	1 x cn <sup>2</sup>
1	n/4	3	c(n/4)²	3 x c(n/4)²
2	n/16	9	c(n/16) <sup>2</sup>	9 x c(n/16) <sup>2</sup>
j	n/4 <sup>j</sup>	3 <sup>j</sup>	c(n/4 <sup>j</sup> ) <sup>2</sup>	3 <sup>j</sup> x c(n/4 <sup>j</sup> )²
log₄n	1	$n^{\log_4 3}$	d	dn <sup>log<sub>4</sub> 3</sup>

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log₄n	1	$n^{\log_4 3}$	d	dn <sup>log<sub>4</sub> 3</sup>



### Let's Break This Summation Down a Bit

$$T(n) = dn^{\log_4 3} + \sum_{j=0}^{\log_4 n-1} 3^j c (n/4^j)^2$$

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$$T(n) = dn^{\log_4 3} + cn^2 + \sum_{j=1}^{\log_4 n-1} 3^j c (n/4^j)^2$$

(pulled first term out of sum)

# $T(n) = 3T(n/4) + cn^{2}$ T(1) = d $T(n) = dn^{\log_{4} 3} + cn^{2} + \sum_{j=1}^{\log_{4} n-1} 3^{j}c(n/4^{j})^{2}$



Which parts of the tree contribute to which parts of the sum?

## $T(n) = 3T(n/4) + cn^2$ T(1) = d $\log_4 n-1$ $T(n) = \frac{dn^{\log_4 3}}{dn^2} + cn^2 + \sum$ $3^j c \left(n/4^j\right)^2$ $\overline{i=1}$

## T(n) = 3T(n/4) + cn<sup>2</sup> T(1) = d $T(n) = dn^{\log_4 3} + cn^2 + \sum_{j=1}^{\log_4 n-1} 3^j c(n/4^j)^2$

This term is from the base case (i.e. bottom of the tree).

## $T(n) = 3T(n/4) + cn^2$ T(1) = d $\log_4 n-1$ $3^j c \left(n/4^j\right)^2$ $T(n) = \frac{dn^{\log_4 3}}{dn^2} + \frac{cn^2}{dn^2} +$ $\overline{i=1}$







### Let's Generalize

• We split up the sum for a particular recurrence

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$$T(n) = 3T(n/4) + cn^2; T(1) = d$$

• Let's do this for a general recurrence

T(n) = aT(n/b) + f(n); T(1) = d

### Let's Generalize

• We split up the sum for a particula

$$T(n) = 3T(n/4) + cn^2;$$

As you saw in Studio 4, we could start from T(c<sub>0</sub>) rather than T(1); would not affect asymptotic result.

Let's do this for a general recurred

### T(n) = aT(n/b) + f(n)T(1) = d $\log_b n-1$ $T(n) = \frac{dn^{\log_b a}}{dn} + \frac{f(n)}{dn} + \frac$ $a^{j}f(n/b^{j})$ $\overline{j=1}$ a a Which term, if any, dominates the sum?





### T(n) = aT(n/b) + f(n)T(1) = d $\log_h n - 1$ $T(n) = \frac{dn^{\log_b a}}{dn} + f(n) + f$ $a^{j}f(n/b^{j})$ i=1a а If bottom-of-tree work dominates, T(n) = ???

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## What if the top and bottom work balance?

### What does "balance" mean?

- Top and bottom work are asymptotically the same.
- In other words,

$$f(n) = \Theta(n^{\log_b a})$$

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For intuition, we'll pretend that

$$f(n) = cn^{\log_b a}$$

### T(n) = aT(n/b) + f(n)T(1) = d

$$T(n) = dn^{\log_b a} + f(n) + \sum_{j=1}^{\log_b n-1} a^j f(n/b^j)$$
$$T(n) = dn^{\log_b a} + cn^{\log_b a} + \sum_{j=1}^{\log_b n-1} a^j c \left(\frac{n}{b^j}\right)^{\log_b a}$$

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$$T(n) = dn^{\log_b a} + cn^{\log_b a} \sum_{j=0}^{\log_b n-1} a^j \left(\frac{1}{b^j}\right)^{\log_b a}$$

$$T(n) = dn^{\log_{b} a} + cn^{\log_{b} a} \sum_{j=0}^{\log_{b} n-1} \frac{a^{j}}{(b^{\log_{b} a})^{j}}$$

$$T(n) = dn^{\log_b a} + cn^{\log_b a} \sum_{j=0}^{\log_b n-1} \frac{a^j}{a^j}$$

$$T(n) = dn^{\log_b a} + cn^{\log_b a} \sum_{j=0}^{\log_b n-1} 1$$

### $T(n) = dn^{\log_b a} + cn^{\log_b a} \log_b n$

# $T(n) = \Theta(n^{\log_b a} \log n)$ = $\Theta(f(n) \log n)$

When top and bottom of tree balance, all levels contribute equally to sum – and there are  $\Theta(\log n)$  levels.

### **Summary of Intuition**

- Given recurrence T(n) = aT(n/b) + f(n)...
- If f(n) dominates  $n^{\log_b a}$ , then solution should be  $\Theta(f(n))$
- If  $n^{\log_b a}$  dominates f(n), then solution should be  $\Theta(n^{\log_b a})$
- If  $f(n) = \Theta(n^{\log_b a})$  [balance], then solution should be  $\Theta(f(n) \log n)$

### **Summary of Intuition**

- Given recurrence T(n) = aT(n/b)
- If f(n) dominates  $n^{\log_b a}$ , then so
- If  $n^{\log_b a}$  dominates f(n), then so
- If  $f(n) = \Theta(n^{\log_b a})$  [balance], the

This is not yet a **theorem** – in part because we haven't carefully defined "dominates," and in part because we didn't do a careful proof.

So is there a theorem that captures our intuition?

#### Theorem 4.1 (Master theorem)

Let  $a \ge 1$  and b > 1 be constants, let f(n) be a function, and let T(n) be defined on the nonnegative integers by the recurrence

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

- 1. If  $f(n) = O(n^{\log_b a \epsilon})$  for some constant  $\epsilon > 0$ , then  $T(n) = \Theta(n^{\log_b a})$ .
- 2. If  $f(n) = \Theta(n^{\log_b a})$ , then  $T(n) = \Theta(n^{\log_b a} \lg n)$ .
- 3. If  $f(n) = \Omega(n^{\log_b a + \epsilon})$  for some constant  $\epsilon > 0$ , and if  $af(n/b) \le cf(n)$  for some constant c < 1 and all sufficiently large n, then  $T(n) = \Theta(f(n))$ .

### **Master The**

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$$T(n) = aT(n/b) +$$

where we interpret *i* ing asymptotic bour

1. If  $f(n) = O(n^{\log_{b} a})$ , then  $f(n) = O(n^{\log_{b} a})$ .

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We won't actually prove it

(see the book), but we will

break down the statement.

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This is the scenario we've been studying!

- 1. If  $f(n) = O(n^{\log_b a \epsilon})$  for some constant  $\epsilon > 0$ , then  $T(n) = \Theta(n^{\log_b a})$ .
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Theorem generalizes to nonpower-of-b input sizes!

where we interpret n/b to mean either  $\lfloor n/b \rfloor$  or  $\lceil n/b \rceil$  ing asymptotic bounds:

1. If 
$$f(n) = O(n^{\log_b a - \epsilon})$$
 for some constant  $\epsilon > 0$ , then  $T(n) = \Theta(n^{\log_b a})$ .

- 2. If  $f(n) = \Theta(n^{\log_b a})$ , then  $T(n) = \Theta(n^{\log_b a} \lg n)$ .
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2. If  $f(n) = \Theta(n^{\log_b a})$ , then  $T(n) = \Theta(n^{\log_b a} \lg n)$  "f(n) dominates  $n^{\log_b a}$ 

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### **Key Elaboration of Theorem vs Intuition**

- Precisely defines "dominates"
- "f(n) dominates g(n)" iff f(n) grows polynomially faster than g(n)
- This is a **stronger condition** than  $f(n) = \omega(g(n))$

$$f(n) = \Omega(n^{\log_b a + \epsilon})$$

$$f(n) = \Theta(n^{\log_b a})$$

$$f(n) = O(n^{\log_b a - \epsilon})$$

$$T(n) = a T(n/b) + f(n)$$
Case 3.  

$$f(n) = \Omega(n^{\log_{b} a + \epsilon}) \longrightarrow T(n) = \Theta(f(n))$$
Case 2.  

$$f(n) = \Theta(n^{\log_{b} a}) \longrightarrow T(n) = \Theta(f(n) \log n)$$
Case 1.  

$$f(n) = O(n^{\log_{b} a - \epsilon}) \longrightarrow T(n) = \Theta(n^{\log_{b} a})$$
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#### T(n) = a T(n/b) + f(n)



$$f(n) = \omega(n^{\log_b a})$$
, but  $f(n) = o(n^{\log_b a + \epsilon})$ 

$$f(n) = \Theta(n^{\log_b a})$$

$$f(n) = o(n^{\log_b a})$$
, but  $f(n) = \omega(n^{\log_b a - \epsilon})$ 

$$f(n) = O(n^{\log_b a - \epsilon})$$

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



$$f(n) = \Omega(n^{\log_b a + \epsilon})$$

$$f(n) = \omega(n^{\log_b a}), \text{ but } f(n) = O(n^{\log_b a + \epsilon}) \longrightarrow ?$$

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Case 3.
$$f(n) = \Omega(n^{\log_b a + \epsilon})$$
 $f(n) = \omega(n^{\log_b a}), \text{ but } f(n) = o(n^{\log_b a + \epsilon})$ Case 2. $f(n) = \Theta(n^{\log_b a})$  $f(n) = o(n^{\log_b a}), \text{ but } f(n) = \omega(n^{\log_b a - \epsilon})$ Case 1. $f(n) = O(n^{\log_b a - \epsilon})$ 

### Limits of the Master Theorem

• If the form of the recurrence does not match the statement of the theorem...

- ...or the recurrence falls into "gap" between two cases...
- ...then the Master Theorem does not apply.
- (You must find another way to solve the recurrence.)

### **Limits of the Master Theorem**

See the Wikipedia page on the Master Theorem

• Examples of situations where Master Thm doesn't apply

- Note: a and b in Master Theorem don't have to be integers
  - (though for recursive programs, a is an integer why?)
  - a must be  $\geq 1$
  - b must be > 1 why?

### • Example of function that fails non-weirdness condition

### n log n vs. $n^{1+\epsilon}$

- Example recurrence: T(n) = 2T(n/2) + nlogn
- Question: does Case 3 apply?
  - I.e. does n log n =  $\Omega(n^{1+\epsilon})$  for some  $\epsilon > 0$  ?

### n log n vs. n<sup>1+ε</sup>

- Example recurrence: T(n) = 2T(n/2) + nlogn
- Question: does Case 3 apply?
  - $\circ \quad \text{I.e. does } n \text{ log } n = \Omega(n^{1+\epsilon}) \text{ for some } \epsilon > 0 \ ?$
- Analysis by limit test
  - $\circ \quad \text{lim (n log n) / (n^{1+\epsilon}) = lim (log n + 1) / (1+\epsilon)n^{\epsilon}}$
## n log n vs. n<sup>1+ε</sup>

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 $\circ \quad \text{lim (n log n) / (n^{1+\epsilon}) = lim (log n + 1) / (1+\epsilon)n^{\epsilon}}$ 

= lim (1/n) / ε(1+ε)n<sup>ε-1</sup>

## n log n vs. $n^{1+\epsilon}$

- Example recurrence: T(n) = 2T(n/2) + nlogn•
- Question: does Case 3 apply?
  - I.e. does n log n =  $\Omega(n^{1+\epsilon})$  for some  $\epsilon > 0$  ? 0
- Analysis by limit test

= lim (1 / 
$$\epsilon$$
(1+ $\epsilon$ )nn <sup>$\epsilon$ -1</sup>)

#### n log n vs. n<sup>1+ε</sup>

- Example recurrence: T(n) = 2T(n/2) + nlogn
- Question: does Case 3 apply?
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- Analysis by limit test

Ο

- $\lim_{t \to \infty} (n \log n) / (n^{1+\epsilon}) = \lim_{t \to \infty} (\log n + 1) / (1+\epsilon)n^{\epsilon}$   $= \lim_{t \to \infty} (1/n) / \epsilon(1+\epsilon)n^{\epsilon-1}$   $= \lim_{t \to \infty} (1 / \epsilon(1+\epsilon)nn^{\epsilon-1})$ 
  - $= \lim_{t \to \infty} (1 / s(1+s)n^{\varepsilon}) 0$  becau
    - = lim  $(1 / \epsilon(1+\epsilon)n^{\epsilon}) = 0$ , because  $\epsilon > 0$
- Hence, n log n is  $o(n^{1+\epsilon})$  for every  $\epsilon > 0$
- So NO, Case 3 of Master Theorem does not apply.

## n log n vs. n<sup>1+ε</sup>

- Example recurrence: T(n) = 2T(n/2) + nlogn
- Question
  - l.e. c
- Analysis

0

0

0

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But for Studio 5, see Wiki for a more general "balanced case" that specifically allows for f(n) to have extra log terms.

• Hence, n

• So **NO**, Case 3 of Master Theorem does not apply.

#### A little practice with "polynomially larger"

	polynomially larger than?	
n²		n
n² log n		n²
n <sup>3</sup> log n		n²
n <sup>2.001</sup>		n²
n log n		$n^{\log_4 3}$

#### A little practice with "polynomially larger"

	polynomially larger than?	
n²	YES	n
n² log n	NO	n²
n <sup>3</sup> log n	YES	n²
n <sup>2.001</sup>	YES	n²
n log n	???	$n^{\log_4 3}$

#### A little practice with "polynomially larger"

	polynomially larger than?	
n²	YES	n
n² log n	NO	n²
n <sup>3</sup> log n	YES	n²
n <sup>2.001</sup>	YES	n²
n log n	YES!	$n^{\log_4 3}$

• T(n) = 2T(n/2) + cn

- T(n) = 2T(n/2) + cn
- a = ???, b = ???, f(n) = ???

- T(n) = 2T(n/2) + cn
- a = 2, b = 2, f(n) = cn

- T(n) = 2T(n/2) + cn
- a = 2, b = 2, f(n) = cn
- Compare  $n^{\log_b a}$  vs f(n)

- T(n) = 2T(n/2) + cn
- a = 2, b = 2, f(n) = cn
- Compare  $n^{\log_2 2}$  vs cn

- T(n) = 2T(n/2) + cn
- a = 2, b = 2, f(n) = cn
- Compare  $n^1$  vs cn

- T(n) = 2T(n/2) + cn
- a = 2, b = 2, f(n) = cn
- Compare  $n^1$  vs cn  $\rightarrow$  f(n) =  $\Theta(n^{\log_b a})$
- Therefore  $T(n) = \Theta(f(n) \log n) = \Theta(n \log n)$

• T(n) = T(2n/3) + c

- T(n) = T(2n/3) + c
- a = ???, b = ???, f(n) = ???

- T(n) = T(2n/3) + c
- a = 1, b = 3/2, f(n) = c

- T(n) = T(2n/3) + c
- a = 1, b = 3/2, f(n) = c
- Compare  $n^{\log_b a}$  vs f(n)

- T(n) = T(2n/3) + c
- a = 1, b = 3/2, f(n) = c
- Compare  $n^{\log_{3/2} 1}$  vs cn<sup>0</sup>

- T(n) = T(2n/3) + c
- a = 1, b = 3/2, f(n) = c
- Compare  $n^0$  vs cn<sup>0</sup>  $\rightarrow$  f(n) =  $\Theta(n^{\log_b a})$
- Therefore  $T(n) = \Theta(f(n) \log n) = \Theta(\log n)$

• T(n) = 4T(n/2) + cn

- T(n) = 4T(n/2) + cn
- a = ???, b = ???, f(n) = ???

- T(n) = 4T(n/2) + cn
- a = 4, b = 2, f(n) = cn

- T(n) = 4T(n/2) + cn
- a = 4, b = 2, f(n) = cn
- Compare  $n^{\log_b a}$  vs f(n)

- T(n) = 4T(n/2) + cn
- a = 4, b = 2, f(n) = cn
- Compare  $n^{\log_2 4}$  vs cn

- T(n) = 4T(n/2) + cn
- a = 4, b = 2, f(n) = cn
- Compare  $n^2$  vs cn

- T(n) = 4T(n/2) + cn
- a = 4, b = 2, f(n) = cn
- Compare  $n^2$  vs cn  $\rightarrow$  f(n) = O( $n^{\log_b a 1}$ )
- Therefore  $T(n) = \Theta(n^{\log_b a}) = \Theta(n^2)$

•  $T(n) = 3T(n/4) + cn \log n$ 

- $T(n) = 3T(n/4) + cn \log n$
- a = ???, b = ???, f(n) = ???

- $T(n) = 3T(n/4) + cn \log n$
- a = 3, b = 4, f(n) = cn log n

- $T(n) = 3T(n/4) + cn \log n$
- a = 3, b = 4, f(n) = cn log n
- Compare  $n^{\log_b a}$  vs f(n)

- $T(n) = 3T(n/4) + cn \log n$
- a = 3, b = 4, f(n) = cn log n
- Compare  $n^{\log_4 3}$  vs cn log n

- $T(n) = 3T(n/4) + cn \log n$
- a = 3, b = 4, f(n) = cn log n
- Compare  $n^{\log_4 3}$  vs cn log n  $\rightarrow$  f(n) =  $\Omega(n^{\log_b a + \varepsilon})$
- Therefore  $T(n) = \Theta(f(n)) = \Theta(n \log n)$

# You'll get more Master Method practice, plus bonus experience with Binary Search, in Studio 5.