

#### Lecture 3

# Divide and Conquer I: Introduction, Merge-sort and Master Theorem

CS 161 Design and Analysis of Algorithms
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 Solving a task where the solution depends on solutions to smaller instances of the same problem, by using functions/algorithms that call themselves.

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return n \cdot \text{Factorial}(n-1)
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**Base case** 

Recursion

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  - Solving a task where the solution depends on solutions to smaller instances of the same problem, by using functions/algorithms that call themselves.

Running time:  $T(n) = T(n-1) + \Theta(1)$ 

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**return**  $n \cdot \text{Factorial}(n-1)$ 

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$$T(n-1) = T(n-2) + 1$$
, by substitution we have  $T(n) = T(n-2) + 2$ .

Exercise: Let T(n) = T(n-1) + 1, with T(1) = 1. Find T(n).

#### Solution:

Since T(n-1) = T(n-2) + 1, by substitution we have T(n) = T(n-2) + 2.

Since 
$$T(n-2) = T(n-3) + 1$$
, by substitution we have  $T(n) = T(n-3) + 3$ .

Exercise: Let 
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, by substitution we have  $T(n) = T(n-3) + 3$ .

•

Since 
$$T(n-i) = T(n-i-1) + 1$$
, by substitution we have  $T(n) = T(n-i) + i$ .

Design and Analysis of Algorithms

Exercise: Let 
$$T(n) = T(n-1) + 1$$
, with  $T(1) = 1$ .  
Find  $T(n)$ .

#### Solution:

Since 
$$T(n-i) = T(n-i-1) + 1$$
, by substitution we have  $T(n) = T(n-i) + i$ .

By setting 
$$i = n - 1$$
 we have  $T(n) = T(1) + n - 1 = n$  which is  $\Theta(n)$ .

Have seen algorithms like insertion sort that have running time (worst case)  $\Theta(n^2)$ .

#### Key idea:

Divide input into two parts of equal size

**Sort** each part <u>recursively</u>

Merge the two sorted parts to obtain the solution.

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9 3 4 220 1 3 10 5 8 7 2

Divide

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Divide

**Recursion** 

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9 3 4 220 1 3 10 5 8 7 2

9 3 4 220 1

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Divide

1349220

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Recursion

12334578910220

Tricky part: Merge

Problem: Given two sorted arrays A, B, merge them to a sorted array C.

While 
$$k < \operatorname{len}(A) + \operatorname{len}(B)$$
 do

If  $A[i] <= B[j]$  then
$$C[k] \leftarrow A[i]$$

$$i = i + 1, k = k + 1$$
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$$A: 1349220$$
  $B: 2357810$   $C:$ 

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$$A: 1349220$$
  $B: 2357810$   $C: 1$ 

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$$A: 1349220$$
  $B: 2357810$   $C: 12$ 

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$$A: 1349220$$
  $B: 2357810$   $C: 123$ 

Tricky part: Merge

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$$j = j + 1, k = k + 1$$

$$A: 1349220$$
  $B: 2357810$   $C: 1233$ 

Tricky part: Merge

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$$A: 1349220$$
  $B: 2357810$   $C: 12334$ 

Tricky part: Merge

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While 
$$k < \text{len(A)} + \text{len(B)} \text{ do}$$

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$$A: 1349220$$
  $B: 2357810$   $C: 123345$ 

Tricky part: Merge

Problem: Given two sorted arrays A, B, merge them to a sorted array C.

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If 
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$$A: 1349220$$
  $B: 2357810$ 
 $C: 1233457$ 

Tricky part: Merge

Problem: Given two sorted arrays A, B, merge them to a sorted array C.

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$$A: 1\ 3\ 4\ 9\ 220$$
  $B: 2\ 3\ 5\ 7\ 8\ 10$   $f$ 

Tricky part: Merge

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$$A: 1349220$$
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Tricky part: Merge

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$$A: 1\ 3\ 4\ 9\ 220$$
  $B: 2\ 3\ 5\ 7\ 8\ 10$   $f$   $C: 1\ 2\ 3\ 3\ 4\ 5\ 7\ 8\ 9\ 10$ 

Tricky part: Merge

Problem: Given two sorted arrays A, B, merge them to a sorted array C.

Solution: Index i for A, index j for B, index k for C.

While 
$$k < \text{len(A)} + \text{len(B)} \ \mathbf{do}$$

If 
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 then  $C[k] \leftarrow A[i]$   $i = i + 1, k = k + 1$  else

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$$j = j + 1, k = k + 1$$

$$A: 1349220$$
  $B: 2357810$ 

 $C: 1\ 2\ 3\ 3\ 4\ 5\ 7\ 8\ 9\ 10\ 220$ 

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Problem: Given two sorted arrays A, B, merge them to a sorted array C.

Solution: Index i for A, index j for B, index k for C.

While  $k < \text{len(A)} + \text{len(B)} \ \mathbf{do}$ 

If  $A[i] \le B[j]$  then  $C[k] \leftarrow A[i]$  i = i + 1, k = k + 1

else

$$C[k] \leftarrow B[j]$$
$$j = j + 1, k = k + 1$$

Running time:  $\Theta(n)$ 

$$A: 1349220$$
  $B: 2357810$ 

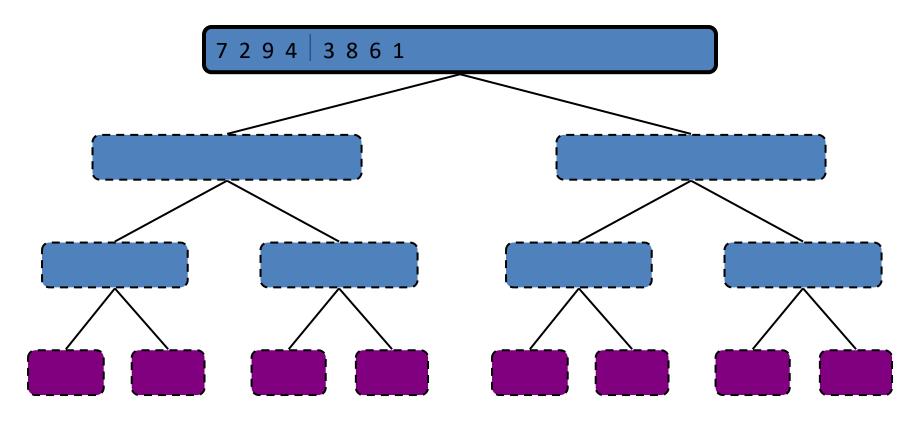
 $C: 1\ 2\ 3\ 3\ 4\ 5\ 7\ 8\ 9\ 10\ 220$ 

### Mergesort

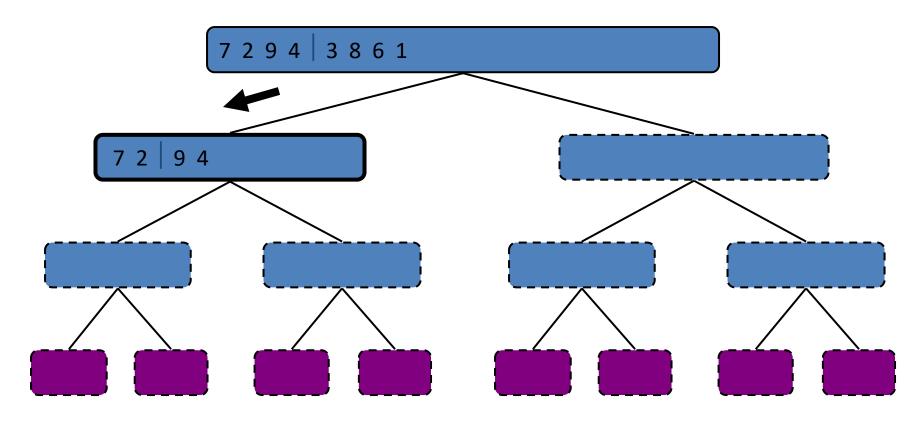
#### Pseudocode:

```
\begin{aligned} & \text{Mergesort}(A[1:n]) \\ & \textbf{If } n == 1 \textbf{ then} \\ & \textbf{return } A \\ & \text{Mergesort } (A[1:\frac{n}{2}]) \\ & \text{Mergesort } (A[\frac{n}{2}+1:n]) \\ & C \leftarrow \text{Merge}(A[1:\frac{n}{2}],A[\frac{n}{2}+1:n]) \\ & \textbf{return } C \end{aligned}
```

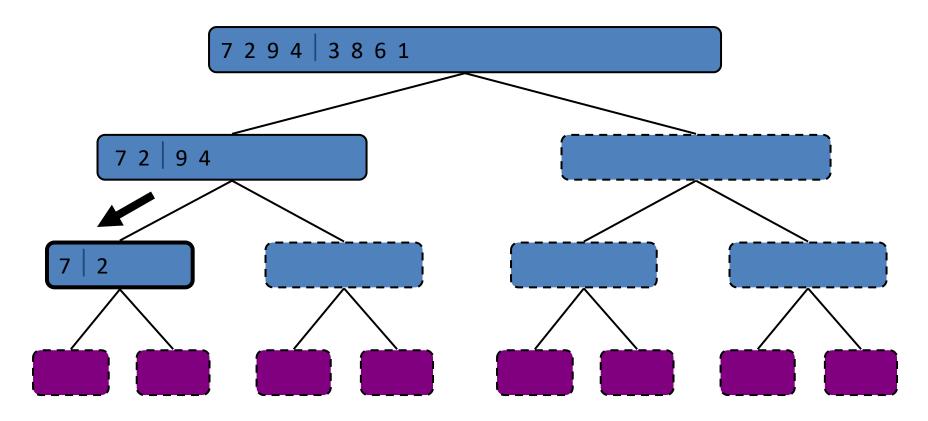
Example: Sort **7 2 9 4 3 8 6 1** 



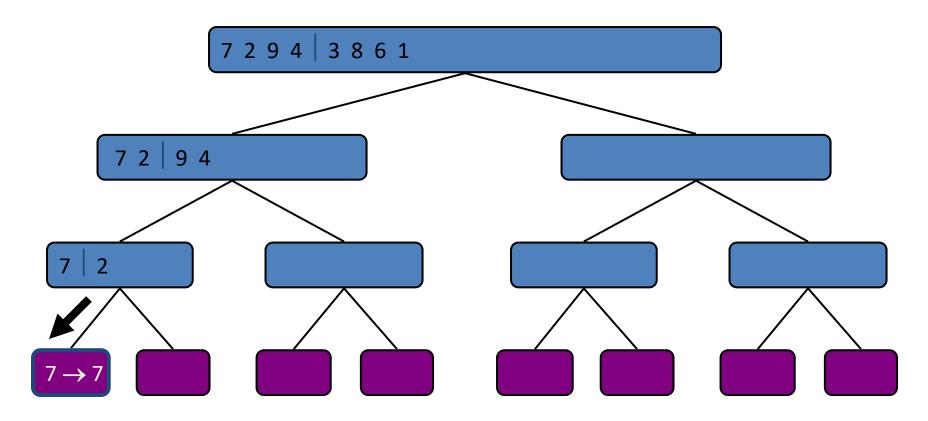
### Recursive call, left part



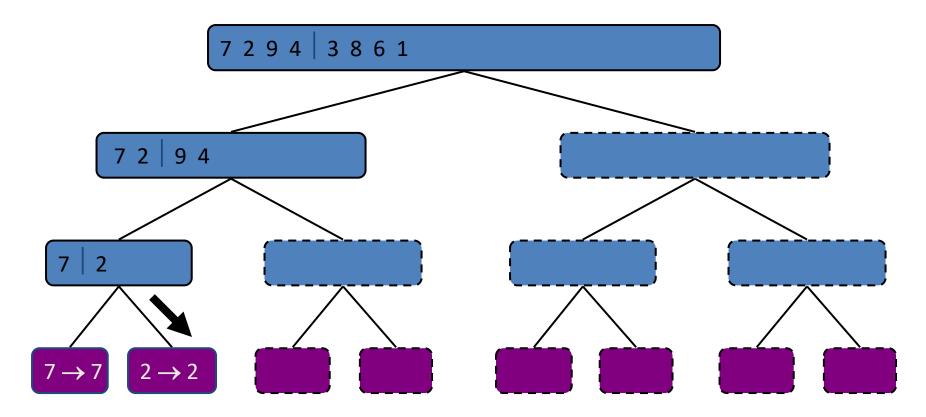
### Recursive call, left part

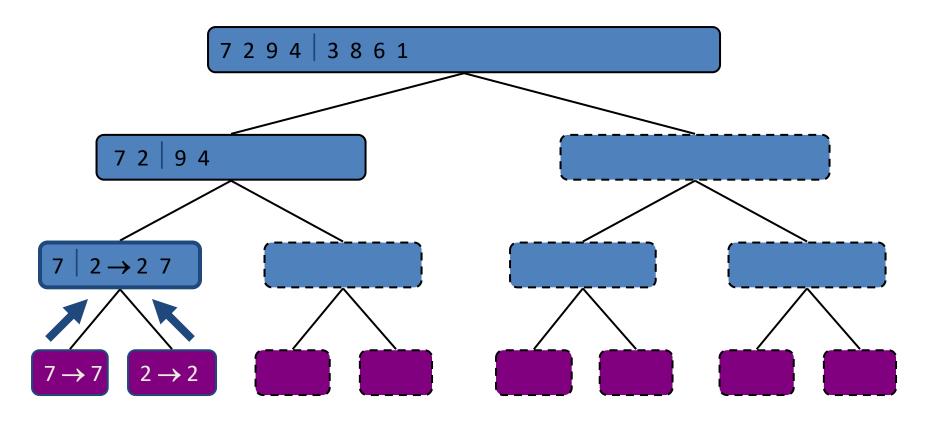


### Recursive call, base case

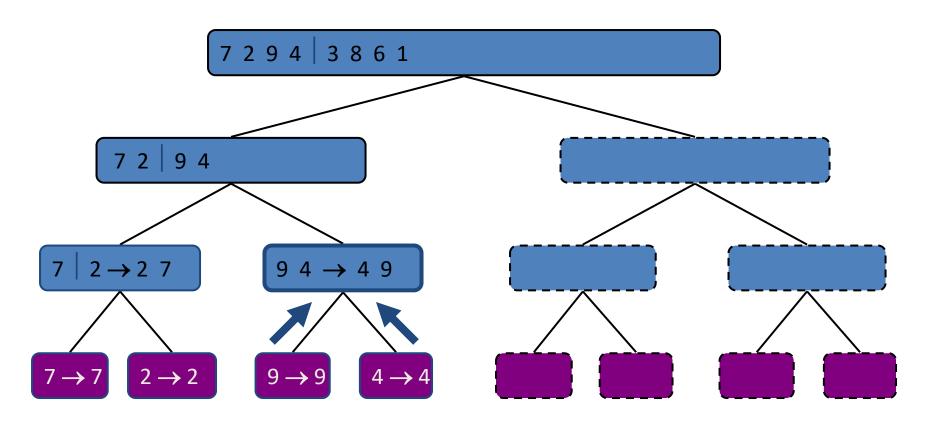


#### Recursive call, base case

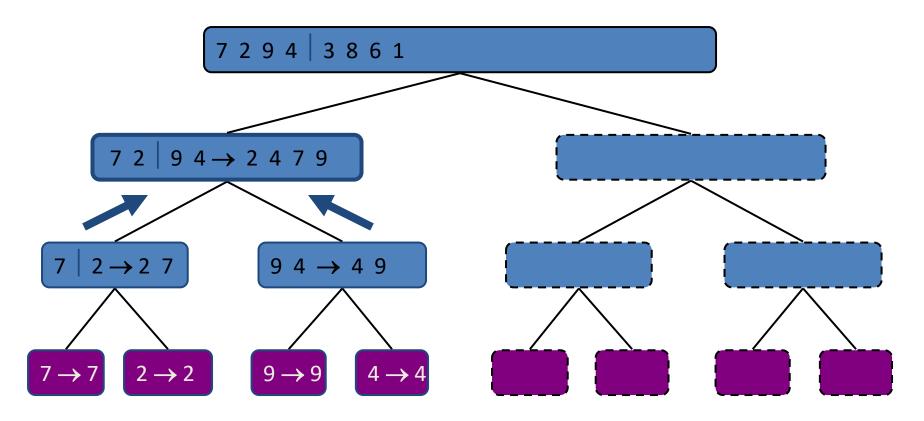


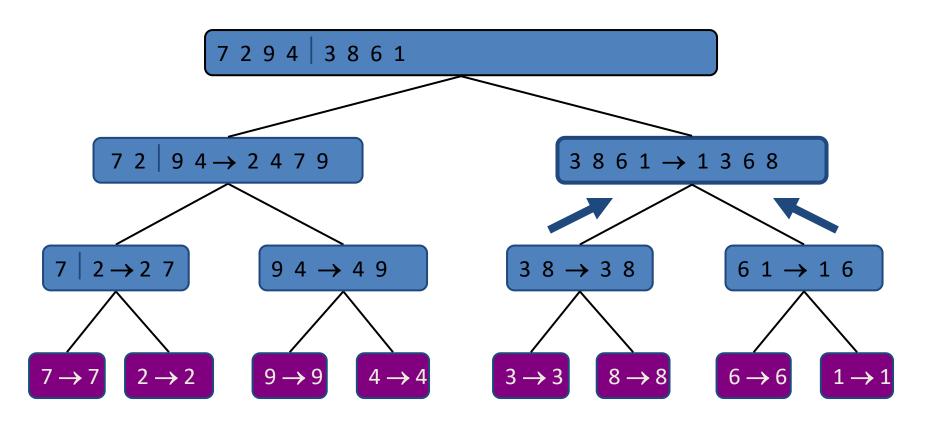


### Similarly

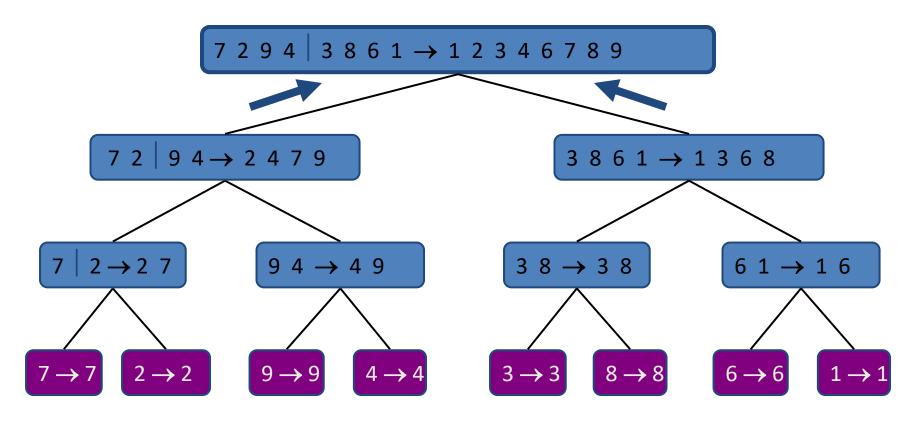


### Merge





### Merge



### Mergesort

Pseudocode:

```
Mergesort(A[1:n])
     If n == 1 then
         return A
     Mergesort_{\bullet}(A[1:\frac{n}{2}])
     Mergesort (A[\frac{n}{2}+1:n])
     C \leftarrow \text{Merge}(A[1:\frac{n}{2}], A[\frac{n}{2}+1:n])
     return C
Running time:
          T(n) = T(n/2) + T(n/2) + \Theta(n) + \Theta(1)
                =2T(n/2)+\Theta(n)
```

### Mergesort

• Pseudocode:

```
Mergesort(A[1:n])
     If n == 1 then
         return A
     Mergesort_{\bullet}(A[1:\frac{n}{2}])
     Mergesort (A[\frac{n}{2}+1:n])
     C \leftarrow \text{Merge}(A[1:\frac{n}{2}], A[\frac{n}{2}+1:n])
     return C
Running time:
          T(n) = T(n/2) + T(n/2) + \Theta(n) + \Theta(1)
                =2T(n/2)+\Theta(n)
                                                 How to analyze?
```

$$T(n) = \begin{cases} T(1) = \Theta(1) \\ aT(n/b) + f(n) \end{cases}$$

• The Master Theorem can find the order of T(n) which is defined recursively.

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• The Master Theorem can find the order of T(n) which is defined recursively.

• Key idea: The answer depends on the comparison between f(n) and  $n^{\log_b a}$ . So, there are 3 cases!

$$T(n) = \begin{cases} T(1) = \Theta(1) \\ aT(n/b) + f(n) \end{cases}$$

- 1. If f(n) is  $O(n^{\log_b a \epsilon})$ , then T(n) is  $\Theta(n^{\log_b a})$
- 2. If f(n) is  $\Theta(n^{\log_b a} \log^k n)$ , then T(n) is  $\Theta(n^{\log_b a} \log^{k+1} n)$
- 3. If f(n) is  $\Omega(n^{\log_b a + \epsilon})$ , then T(n) is  $\Theta(f(n))$ , need to check af(n/b) < f(n).

### Case 1: $n^{\log_b a}$ dominates f(n)

$$T(n) = \begin{cases} T(1) = \Theta(1) \\ aT(n/b) + f(n) \end{cases}$$

- 1. If f(n) is  $O(n^{\log_b a \epsilon})$ , then T(n) is  $\Theta(n^{\log_b a})$
- 2. If f(n) is  $\Theta(n^{\log_b a} \log^k n)$ , then T(n) is  $\Theta(n^{\log_b a} \log^{k+1} n)$
- 3. If f(n) is  $\Omega(n^{\log_b a + \epsilon})$ , then T(n) is  $\Theta(f(n))$ , need to check af(n/b) < f(n).

Case 2:  $n^{\log_b a}$  have same order as f(n) (up to  $\log^k n$ )

$$f(n) = \underbrace{n \log n}_{n} \underbrace{n}_{n} \underbrace{T(n)} = \begin{cases} T(n) = \\ T(n) = \\ T(n) = \\ T(n) = \\ T(n) = \begin{cases} T(n) = \\ T(n)$$

$$T(n) = \begin{cases} T(1) = \Theta(1) \\ aT(n/b) + f(n) \end{cases}$$

- 2. If f(n) is  $\Theta(n^{\log_b a} \log^k n)$ , then T(n) is  $\Theta(n^{\log_b a} \log^{k+1} n)$
- 3. If f(n) is  $\Omega(n^{\log_b a + \epsilon})$ , then T(n) is  $\Theta(f(n))$ , need to check af(n/b) < f(n).

Case 3:  $n^{\log_b a}$  is dominated by f(n) (+ another condition)

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

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

#### Solution:

We have a = 4, b = 2, hence  $\log_b a = 2$ .

Since  $n^2 \gg n$ , we are in case 1. Answer is  $\Theta(n^2)$ 

$$T(n) = 2T(n/2) + \Theta(n)$$

Mergesort running time

$$T(n) = 2T(n/2) + \Theta(n)$$

Mergesort running time

#### Solution:

We have a = 2, b = 2, hence  $\log_b a = 1$ .

Since n is  $\Theta(n)$ , we are in case 2 with k=0. Answer is  $\Theta(n \log n)$ 

$$T(n) = 2T(n/2) + n \log n$$

$$T(n) = 2T(n/2) + n\log n$$

#### Solution:

We have a = 2, b = 2, hence  $\log_b a = 1$ .

Since n is  $\Theta(n)$ , we are in case 2 with k=1. Answer is  $\Theta(n \log^2 n)$ 

$$T(n) = 9T(n/3) + n^3$$

$$T(n) = 9T(n/3) + n^3$$

#### Solution:

We have a = 9, b = 3, hence  $\log_b a = 2$ .

Since  $n^2 \ll n^3$ , we are in case 3. Need to check that

$$9\left(\frac{n}{3}\right)^3 < n^3$$
 which is equivalent to  $\frac{n^3}{3} < n^3$  (holds)

Answer is  $\Theta(n^3)$ 

$$T(n) = T(n/2) + \Theta(1)$$

Binary search running time

$$T(n) = T(n/2) + \Theta(1)$$

Binary search running time

#### Solution:

We have a = 1, b = 2, hence  $\log_b a = 0$ .

Since  $n^0$ =1 is  $\Theta(1)$ , we are in case 2 with k=0. Answer is  $\Theta(\log n)$ 

## Divide and conquer method

- Steps of method:
  - Divide input into parts (smaller problems)
  - Conquer (solve) each part <u>recursively</u>
  - Combine results to obtain solution of original

$$T(n) =$$
divide time  
+  $T(n_1) + T(n_2) + ... + T(n_k)$   
+ combine time

Given numbers  $A_1, \dots, A_n$  in an array A, compute the number of inversions.

(i,j) is an inversion:  $A_i > A_j$  and i < j.

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```
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```

Example [18, 29, 12, 15, 32, 10] has 9 inversions:

Given numbers  $A_1, \dots, A_n$  in an array A, compute the number of inversions.

$$(i,j)$$
 is an inversion:  $A_i > A_j$  and  $i < j$ .

- Minimum number of inversions is zero (when sorted in increasing order)
- Maximum number of inversions is  $\binom{n}{2}$  (when sorted in decreasing order)

- For all i,j with i < j, compare  $A_i$  with  $A_j$  and increase counter if  $A_i > A_j$ . Total number of comparisons  $\frac{n(n-1)}{2}$ . Running time  $\Theta(n^2)$ .
- Use Divide and conquer. Tricky part the combine step.

- For all i, j with i < j, compare  $A_i$  with  $A_j$  and increase counter if  $A_i > A_j$ . Total number of comparisons  $\frac{n(n-1)}{2}$ . Running time  $\Theta(n^2)$ .
- Use Divide and conquer. Tricky part the combine step.
- Question: Assume that  $B_1, ..., B_k$  and  $C_1, ..., C_l$  are both sorted. Can you compute the number of inversions of the sequence  $B_1, ..., B_k, C_1, ..., C_l$ ?

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If 
$$B_i > C_i \ge B_{i-1}$$
 there are

### including $C_j$

$$i^{\uparrow}$$

$$C_{1},...,C_{j},...,C_{l}$$

$$i^{\uparrow}$$

$$C_{j} \geqslant C_{1}/(2_{1},...,C_{j},...,C_{l})$$

$$C_{j} \angle B_{i}B_{i+1},B_{i+2},...,B_{k} \qquad k-i+1$$

$$C_{j} \Rightarrow C_{1}/(2_{1},...,C_{l})$$

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Design and Analysis of Algorithms

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If 
$$B_i > C_j \ge B_{i-1}$$
 there are  $k-i+1$  including  $C_j$ 

Problem: Given two sorted arrays B, C, merge them to a sorted array and count number of inversions simultaneously.

Solution: Index i for B, index j for C, index k for A, counter.

While 
$$k < \operatorname{len}(B) + \operatorname{len}(C)$$
 do

If  $B[i] <= C[j]$  then
$$A[k] \leftarrow B[i]$$

$$i = i + 1, k = k + 1$$
else
$$A[k] \leftarrow C[j]$$

B: 1349220C: 2357810counter = 0counter = counter + len(B) - i + 1

$$j = j + 1, k = k + 1$$

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else

$$A[k] \leftarrow C[j]$$

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$$B: 1349220$$
  $C: 2357810$ 
 $i^{\uparrow}$ 
 $A: 123$ 
 $counter = 4$ 

Problem: Given two sorted arrays B, C, merge them to a sorted array and count number of inversions simultaneously.

Solution: Index i for B, index j for C, index k for A, counter.

While 
$$k < \operatorname{len}(B) + \operatorname{len}(C)$$
 do

If 
$$B[i] \le C[j]$$
 then  $A[k] \leftarrow B[i]$   $i = i + 1, k = k + 1$ 

else

$$A[k] \leftarrow C[j]$$

$$j = j + 1, k = k + 1$$

$$B: 1349220$$
  $C: 2357810$ 
 $i^{\uparrow}$ 
 $A: 1233$ 
 $counter = 7$ 

Problem: Given two sorted arrays B, C, merge them to a sorted array and count number of inversions simultaneously.

Solution: Index i for B, index j for C, index k for A, counter.

While 
$$k < \text{len(B)} + \text{len(C)}$$
 do

If  $B[i] <= C[j]$  then
$$A[k] \leftarrow B[i]$$

$$i = i + 1, k = k + 1$$
else

$$A[k] \leftarrow C[j]$$
 counter = counter + len $(B) - i + 1$   
 $j = j + 1, k = k + 1$ 

Problem: Given two sorted arrays B, C, merge them to a sorted array and count number of inversions simultaneously.

Solution: Index i for B, index j for C, index k for A, counter.

While 
$$k < \text{len(B)} + \text{len(C)}$$
 do
If  $B[i] <= C[j]$  then

$$A[k] \leftarrow B[i]$$

$$i = i + 1, k = k + 1$$

else

$$A[k] \leftarrow C[j]$$

$$j = j + 1, k = k + 1$$

$$B: 1349220$$
  $C: 2357810$ 
 $i$ 
 $A: 123345$ 
 $counter = 9$ 

Problem: Given two sorted arrays B, C, merge them to a sorted array and count number of inversions simultaneously.

Solution: Index i for B, index j for C, index k for A, counter.

While 
$$k < \operatorname{len}(B) + \operatorname{len}(C)$$
 do

If  $B[i] <= C[j]$  then
$$A[k] \leftarrow B[i]$$

$$i = i + 1, k = k + 1$$
else
$$A[k] \leftarrow C[j]$$

C: 2357810B: 1349220A:1233457counter = 11counter = counter + len(B) - i + 1

$$j = j + 1, k = k + 1$$

Problem: Given two sorted arrays B, C, merge them to a sorted array and count number of inversions simultaneously.

Solution: Index i for B, index j for C, index k for A, counter.

While 
$$k < \text{len(B)} + \text{len(C)}$$
 do

If  $B[i] <= C[j]$  then
$$A[k] \leftarrow B[i]$$

else

$$A[k] \leftarrow C[j]$$

counter = counter + len(B) - i + 1

$$j = j + 1, k = k + 1$$

i = i + 1, k = k + 1

$$B: 1349220$$
  $C: 2357810$ 
 $i$ 
 $A: 12334578$ 
 $counter = 13$ 

Problem: Given two sorted arrays B, C, merge them to a sorted array and count number of inversions simultaneously.

Solution: Index i for B, index j for C, index k for A, counter.

While 
$$k < \text{len(B)} + \text{len(C)}$$
 do
If  $B[i] <= C[j]$  then

$$A[k] \leftarrow B[i]$$

$$i = i + 1, k = k + 1$$

else

$$A[k] \leftarrow C[j]$$

$$j = j + 1, k = k + 1$$

$$B: 1349220$$
  $C: 2357810$ 
 $i$ 
 $A: 123345789$ 
 $counter = 13$ 

Problem: Given two sorted arrays B, C, merge them to a sorted array and count number of inversions simultaneously.

Solution: Index i for B, index j for C, index k for A, counter.

While 
$$k < \operatorname{len}(B) + \operatorname{len}(C)$$
 do

If 
$$B[i] \le C[j]$$
 then  $A[k] \leftarrow B[i]$   $i = i + 1, k = k + 1$ 

else

$$A[k] \leftarrow C[j]$$

$$j = j + 1, k = k + 1$$

$$B: 1349220$$
  $C: 2357810$ 

$$i^{\uparrow}$$

$$A: 12334578910$$

$$counter = 14$$

Problem: Given two sorted arrays B, C, merge them to a sorted array and count number of inversions simultaneously.

Solution: Index i for B, index j for C, index k for A, counter.

While 
$$k < \operatorname{len}(B) + \operatorname{len}(C)$$
 do

If 
$$B[i] \le C[j]$$
 then  $A[k] \leftarrow B[i]$   $i = i + 1, k = k + 1$ 

else

$$A[k] \leftarrow C[j]$$

$$j = j + 1, k = k + 1$$

- For all i, j with i < j, compare  $A_i$  with  $A_j$  and increase counter if  $A_i > A_j$ . Total number of comparisons  $\frac{n(n-1)}{2}$ . Running time  $\Theta(n^2)$ .
- Use Divide and conquer. Tricky part the combine step.
- Solution: Run a modification of Mergesort that has a counter that counts inversions during merge steps.

#### Pseudocode:

```
\begin{aligned} & \mathbf{Mergesort}(A[1:n]) \\ & \mathbf{If} \ n == 1 \ \mathbf{then} \\ & \mathbf{return} \ A, 0 \\ & B, \mathbf{countL} = \mathrm{Mergesort} \ (A[1:\frac{n}{2}]) \\ & C, \mathbf{countR} = \mathrm{Mergesort} \ (A[\frac{n}{2}+1:n]) \\ & A \leftarrow \mathrm{Merge}(B,C) \\ & \mathrm{Get} \ \mathbf{counter} \ \mathrm{from} \ \mathrm{merging} \\ & \mathbf{return} \ A, \mathrm{countL} + \mathrm{countR} + \mathrm{counter} \end{aligned}
```