

# **CSE 548: Analysis of Algorithms**

## **Lecture 7 ( Generating Functions )**

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# An Impossible Counting Problem

Suppose you went to a grocery store to buy some fruits. There are some constraints though:

- A. The store has only two **apples** left: one red and one green. So you cannot take more than 2 apples.
- B. All but 3 **bananas** are rotten. You do not like rotten bananas.
- F. **Figs** are sold 6 per pack. You can take as many packs as you want.
- M. **Mangoes** are sold in pairs. But you must not take more than a pair of pairs.
- P. They sell 4 **peaches** per pack. Take as many packs as you want.

Now the question is: in how many ways can you buy  $n$  fruits from the store?

# Generating Functions

*Generating functions* represent sequences by coding the terms of a sequence as coefficients of powers of a variable in a formal power series.

For example, one can represent a sequence  $s_0, s_1, s_2, \dots$  as:

$$S(z) = s_0 + s_1z + s_2z^2 + s_3z^3 + \dots + s_nz^n + \dots$$

So  $s_n$  is the coefficient of  $z^n$  in  $S(z)$ .

# An Impossible Counting Problem

- A. The store has only two **apples** left: one red and one green.  
So you cannot take more than 2 apples.

$$A(z) = 1 + 2z + z^2 = (1 + z)^2$$

- B. All but 3 **bananas** are rotten. You do not like rotten bananas.

$$B(z) = 1 + z + z^2 + z^3 = \frac{1 - z^4}{1 - z}$$

- F. **Figs** are sold 6 per pack. You can take as many packs as you want.

$$F(z) = 1 + z^6 + z^{12} + z^{18} + \dots = \frac{1}{1 - z^6}$$

- M. **Mangoes** are sold in pairs. But you must not take more than a pair of pairs.

$$M(z) = 1 + z^2 + z^4 = \frac{1 - z^6}{1 - z^2}$$

- P. They sell 4 **peaches** per pack. Take as many packs as you want.

$$P(z) = 1 + z^4 + z^8 + z^{12} + \dots = \frac{1}{1 - z^4}$$

# An Impossible Counting Problem

Suppose you can choose  $n$  fruits in  $s_n$  different ways.

Then the generating function for  $s_n$  is:

$$\begin{aligned} S(z) = A(z)B(z)F(z)M(z)P(z) &= (1+z)^2 \times \frac{1-z^4}{1-z} \times \frac{1}{1-z^6} \times \frac{1-z^6}{1-z^2} \times \frac{1}{1-z^4} \\ &= \frac{1+z}{(1-z)^2} \\ &= (1+z) \sum_{n=0}^{\infty} (n+1)z^n \\ &= \sum_{n=0}^{\infty} (2n+1)z^n \end{aligned}$$

Equating the coefficients of  $z^n$  from both sides:

$$s_n = 2n + 1$$

# Fibonacci Numbers

Recurrence for *Fibonacci numbers*:

$$f_n = \begin{cases} 0 & \text{if } n = 0, \\ 1 & \text{if } n = 1, \\ f_{n-1} + f_{n-2} & \text{otherwise.} \end{cases}$$

$$\Rightarrow f_n = f_{n-1} + f_{n-2} + [n = 1]$$

Generating function:  $F(z) = f_0 + f_1z + f_2z^2 + f_3z^3 + \dots$

$$\begin{aligned} F(z) &= \sum_n f_n z^n = \sum_n f_{n-1} z^n + \sum_n f_{n-2} z^n + \sum_n [n = 1] z^n \\ &= \sum_n f_n z^{n+1} + \sum_n f_n z^{n+2} + z \\ &= zF(z) + z^2F(z) + z \end{aligned}$$

# Fibonacci Numbers

$$F(z) = zF(z) + z^2F(z) + z$$

$$\Rightarrow F(z) = \frac{z}{1 - z - z^2}$$

$$= \frac{z}{(1 - \phi z)(1 - \hat{\phi} z)}, \text{ where } \phi = \frac{1 + \sqrt{5}}{2} \text{ \& } \hat{\phi} = \frac{1 - \sqrt{5}}{2}$$

$$= \frac{1}{\sqrt{5}} \left( \frac{1}{1 - \phi z} - \frac{1}{1 - \hat{\phi} z} \right)$$

$$= \frac{1}{\sqrt{5}} \sum_n (\phi^n - \hat{\phi}^n) z^n$$

Equating the coefficients of  $z^n$  from both sides:

$$f_n = \frac{1}{\sqrt{5}} (\phi^n - \hat{\phi}^n) = \frac{1}{\sqrt{5}} \left( \frac{1 + \sqrt{5}}{2} \right)^n - \frac{1}{\sqrt{5}} \left( \frac{1 - \sqrt{5}}{2} \right)^n$$

# **Average Case Analysis of Quicksort**



# Quicksort

**Input:** An array  $A[1:n]$  of  $n$  distinct numbers.

**Output:** Numbers of  $A[1:n]$  rearranged in increasing order of value.

**Steps:**

1. **Pivot Selection:** Select pivot  $x = A[1]$ .
2. **Partition:** Use a stable partitioning algorithm to rearrange the numbers of  $A[1:n]$  such that  $A[k] = x$  for some  $k \in [1, n]$ , each number in  $A[1:k-1]$  is smaller than  $x$ , and each in  $A[k+1:n]$  is larger than  $x$ .
3. **Recursion:** Recursively sort  $A[1:k-1]$  and  $A[k+1:n]$ .
4. **Output:** Output  $A[1:n]$ .

**Stable Partitioning:** If two numbers  $p$  and  $q$  end up in the same partition and  $p$  appears before  $q$  in the input, then  $p$  must also appear before  $q$  in the resulting partition.

# Average Number of Comparisons by Quicksort

We will average the number of comparisons performed by *Quicksort* on all possible arrangements of the numbers in the input array.

Let  $t_n$  = average #comparisons performed by *Quicksort* on  $n$  numbers.

Then

$$t_n = \begin{cases} 0 & \text{if } n < 1, \\ n - 1 + \frac{1}{n} \sum_{k=1}^n (t_{k-1} + t_{n-k}) & \text{otherwise.} \end{cases}$$

The recurrence can be rewritten as follows.

$$t_n = \begin{cases} 0 & \text{if } n < 1, \\ n - 1 + \frac{2}{n} \sum_{k=0}^{n-1} t_k & \text{otherwise.} \end{cases}$$

# Average Number of Comparisons by Quicksort

$$\text{The recurrence: } t_n = \begin{cases} 0 & \text{if } n < 1, \\ n - 1 + \frac{2}{n} \sum_{k=0}^{n-1} t_k & \text{otherwise.} \end{cases}$$

Let  $T(z)$  be an ordinary generating function for  $t_n$ 's:

$$T(z) = t_0 + t_1z + t_2z^2 + \cdots + t_nz^n + \cdots$$

$$= t_0 + \sum_{n=1}^{\infty} t_n z^n$$

$$= t_0 + \sum_{n=1}^{\infty} \left( n - 1 + \frac{2}{n} \sum_{k=0}^{n-1} t_k \right) z^n$$

# Average Number of Comparisons by Quicksort

We have: 
$$T(z) = t_0 + \sum_{n=1}^{\infty} \left( n - 1 + \frac{2}{n} \sum_{k=0}^{n-1} t_k \right) z^n$$

Differentiating:

$$T'(z) = \sum_{n=1}^{\infty} \left( n(n-1) + 2 \sum_{k=0}^{n-1} t_k \right) z^{n-1}$$

$$= z \sum_{n=2}^{\infty} n(n-1) z^{n-2} + 2 \sum_{n=0}^{\infty} \left( \sum_{k=0}^n t_k \right) z^n$$

$$= z \frac{d^2}{dz^2} \left( \left( \sum_{n=0}^{\infty} z^n \right) - 1 - z \right) + 2 \sum_{n=0}^{\infty} \left( t_n z^n \left( \sum_{k=0}^{\infty} z^k \right) \right)$$

# Average Number of Comparisons by Quicksort

$$T'(z) = z \frac{d^2}{dz^2} \left( \left( \sum_{n=0}^{\infty} z^n \right) - 1 - z \right) + 2 \sum_{n=0}^{\infty} \left( t_n z^n \left( \sum_{k=0}^{\infty} z^k \right) \right)$$

$$= z \frac{d^2}{dz^2} \left( (1-z)^{-1} - 1 - z \right) + 2(1-z)^{-1} \sum_{n=0}^{\infty} t_n z^n$$

$$= \frac{2z}{(1-z)^3} + \frac{2}{1-z} T(z)$$

Rearranging:  $(1-z)^2 T'(z) - 2(1-z)T(z) = \frac{2z}{1-z}$

$$\Rightarrow \frac{d}{dz} \left( (1-z)^2 T(z) \right) = \frac{d}{dz} (-2 \ln(1-z) - 2z)$$

Integrating:  $(1-z)^2 T(z) = -2 \ln(1-z) - 2z + c$  ( $c$  is a constant)

# Average Number of Comparisons by Quicksort

We have,  $(1 - z)^2 T(z) = -2 \ln(1 - z) - 2z + c$  ( $c$  is a constant)

Putting  $z = 0$ ,  $T(0) = c \Rightarrow t_0 = c \Rightarrow c = 0$

Hence,  $(1 - z)^2 T(z) = -2 \ln(1 - z) - 2z$

$$\Rightarrow T(z) = 2(-\ln(1 - z) - z)(1 - z)^{-2}$$

$$= 2 \left( \sum_{j=2}^{\infty} \frac{z^j}{j} \right) \left( \sum_{k=0}^{\infty} (k + 1)z^k \right)$$

Equating coefficients of  $z^n$  from both sides,

$$t_n = 2 \left( \sum_{k=2}^n \frac{n + 1 - k}{k} \right) = 2(n + 1) \sum_{k=1}^n \frac{1}{k} - 4n = 2(n + 1)H_n - 4n,$$

where  $H_n = \sum_{k=1}^n \left( \frac{1}{k} \right)$  is the  $n^{\text{th}}$  harmonic number.

# Average Number of Comparisons by Quicksort

We have,  $t_n = 2(n + 1)H_n - 4n$ ,

where  $H_n = \sum_{k=1}^n \left(\frac{1}{k}\right)$  is the  $n^{\text{th}}$  harmonic number.

But we know,  $H_n = \ln n + O(1)$  ( prove it )

Hence,  $t_n = 2(n + 1)(\ln n + O(1)) - 4n = \Theta(n \log n)$ .