

# **CSE 373: Analysis of Algorithms**

## **Lectures 5 - 8 ( Correctness of Algorithms )**

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# Insertion Sort

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

**Output:** Elements of  $A[1 : n]$  rearranged in non-decreasing order of value.

## INSERTION-SORT ( $A$ )

1. **for**  $j = 2$  **to**  $A.length$
2.      $key = A[j]$
3.     // insert  $A[j]$  into the sorted sequence  $A[1..j - 1]$
4.      $i = j - 1$
5.     **while**  $i > 0$  **and**  $A[i] > key$
6.          $A[i + 1] = A[i]$
7.          $i = i - 1$
8.      $A[i + 1] = key$

# Loop Invariants

We use *loop invariants* to prove correctness of iterative algorithms

A loop invariant is associated with a given loop of an algorithm, and it is a formal statement about the relationship among variables of the algorithm such that

- [ **Initialization** ] It is true prior to the first iteration of the loop
- [ **Maintenance** ] If it is true before an iteration of the loop, it remains true before the next iteration
- [ **Termination** ] When the loop terminates, the invariant gives us a useful property that helps show that the algorithm is correct

# Loop Invariants for Insertion Sort

## INSERTION-SORT ( A )

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2.      $key = A[j]$
3.     // insert  $A[j]$  into the sorted sequence  $A[1..j - 1]$
4.      $i = j - 1$
5.     **while**  $i > 0$  **and**  $A[i] > key$
6.          $A[i + 1] = A[i]$
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# Loop Invariants for Insertion Sort

## INSERTION-SORT ( $A$ )

1. **for**  $j = 2$  **to**  $A.length$

**Invariant 1:**  $A[1..j - 1]$  consists of the elements originally in  $A[1..j - 1]$ , but in sorted order

2.  $key = A[j]$

3. // insert  $A[j]$  into the sorted sequence  $A[1..j - 1]$

4.  $i = j - 1$

5. **while**  $i > 0$  **and**  $A[i] > key$

6.  $A[i + 1] = A[i]$

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# Loop Invariants for Insertion Sort

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**Invariant 1:**  $A[1..j - 1]$  consists of the elements originally in  $A[1..j - 1]$ , but in sorted order

2.  $key = A[j]$

3. // insert  $A[j]$  into the sorted sequence  $A[1..j - 1]$

4.  $i = j - 1$

5. **while**  $i > 0$  **and**  $A[i] > key$

**Invariant 2:**  $A[i..j]$  are each  $\geq key$

6.  $A[i + 1] = A[i]$

7.  $i = i - 1$

8.  $A[i + 1] = key$

# Loop Invariant 1: Initialization

## INSERTION-SORT ( A )

1. **for**  $j = 2$  **to**  $A.length$

Invariant 1:  $A[1..j - 1]$  consists of the elements  
originally in  $A[1..j - 1]$ , but in sorted order

2.  $key = A[j]$

3. // insert  $A[j]$  into the sorted sequence  $A[1..j - 1]$

4.  $i = j - 1$

5. **while**  $i > 0$  **and**  $A[i] > key$

Invariant 2:  $A[i..j]$  are each  $\geq key$

6.  $A[i + 1] = A[i]$

7.  $i = i - 1$

8.  $A[i + 1] = key$

At the start of the first iteration of the loop ( in lines 1 – 8 ):  $j = 2$

Hence, subarray  $A[1..j - 1]$  consists of a single element  $A[1]$ , which is in fact the original element in  $A[1]$ .

The subarray consisting of a single element is trivially sorted.

Hence, the invariant holds initially.

# Loop Invariant 1: Maintenance

## INSERTION-SORT ( A )

1. **for**  $j = 2$  **to**  $A.length$

Invariant 1:  $A[1..j - 1]$  consists of the elements originally in  $A[1..j - 1]$ , but in sorted order

2.  $key = A[j]$

3. // insert  $A[j]$  into the sorted sequence  $A[1..j - 1]$

4.  $i = j - 1$

5. **while**  $i > 0$  **and**  $A[i] > key$

Invariant 2:  $A[i..j]$  are each  $\geq key$

6.  $A[i + 1] = A[i]$

7.  $i = i - 1$

8.  $A[i + 1] = key$

We assume that invariant 1 holds before the start of the current iteration.

Hence, the following holds:  $A[1..j - 1]$  consists of the elements originally in  $A[1..j - 1]$ , but in sorted order.

For invariant 1 to hold before the start of the next iteration, the following must hold at the end of the current iteration:

$A[1..j]$  consists of the elements originally in  $A[1..j]$ , but in sorted order.

We use invariant 2 to prove this.



# Loop Invariant 1: Maintenance

## Loop Invariant 2: Initialization

INSERTION-SORT ( A )

1. **for**  $j = 2$  **to**  $A.length$

Invariant 1:  $A[1..j - 1]$  consists of the elements  
originally in  $A[1..j - 1]$ , but in sorted order

2.  $key = A[j]$

3. // insert  $A[j]$  into the sorted sequence  $A[1..j - 1]$

4.  $i = j - 1$

5. **while**  $i > 0$  **and**  $A[i] > key$

Invariant 2:  $A[i..j]$  are each  $\geq key$

6.  $A[i + 1] = A[i]$

7.  $i = i - 1$

8.  $A[i + 1] = key$

At the start of the first iteration of the loop ( in lines 5 – 7 ):  $i = j - 1$

Hence, subarray  $A[i..j]$  consists of only two entries:  $A[i]$  and  $A[j]$ .

We know the following:

- $A[i] > key$  ( explicitly tested in line 5 )
- $A[j] = key$  ( from line 2 )

Hence, invariant 2 holds initially.

# Loop Invariant 1: Maintenance

## Loop Invariant 2: Maintenance

INSERTION-SORT ( A )

1. **for**  $j = 2$  **to**  $A.length$

Invariant 1:  $A[1..j - 1]$  consists of the elements originally in  $A[1..j - 1]$ , but in sorted order

2.  $key = A[j]$

3. // insert  $A[j]$  into the sorted sequence  $A[1..j - 1]$

4.  $i = j - 1$

5. **while**  $i > 0$  **and**  $A[i] > key$

Invariant 2:  $A[i..j]$  are each  $\geq key$

6.  $A[i + 1] = A[i]$

7.  $i = i - 1$

8.  $A[i + 1] = key$

We assume that invariant 2 holds before the start of the current iteration.

Hence, the following holds:  $A[i..j]$  are each  $\geq key$ .

Since line 6 copies  $A[i]$  which is known to be  $> key$  to  $A[i + 1]$  which also held a value  $\geq key$ , the following holds at the end of the current iteration:  $A[i + 1..j]$  are each  $\geq key$ .

Before the start of the next iteration the check  $A[i] > key$  in line 5 ensures that invariant 2 continues to hold.

# Loop Invariant 1: Maintenance

## Loop Invariant 2: Maintenance

INSERTION-SORT (  $A$  )

1. **for**  $j = 2$  **to**  $A.length$

Invariant 1:  $A[1..j - 1]$  consists of the elements  
originally in  $A[1..j - 1]$ , but in sorted order

2.  $key = A[j]$

3. // insert  $A[j]$  into the sorted sequence  $A[1..j - 1]$

4.  $i = j - 1$

5. **while**  $i > 0$  **and**  $A[i] > key$

Invariant 2:  $A[i..j]$  are each  $\geq key$

6.  $A[i + 1] = A[i]$

7.  $i = i - 1$

8.  $A[i + 1] = key$

Observe that the inner loop ( in lines 5 – 7 ) does not destroy any data because though the first iteration overwrites  $A[j]$ , that  $A[j]$  has already been saved in  $key$  in line 2.

As long as  $key$  is copied back into a location in  $A[1..j]$  without destroying any other element in that subarray, we maintain the invariant that  $A[1..j]$  contains the first  $j$  elements of the original list.

# Loop Invariant 1: Maintenance

## Loop Invariant 2: Termination

### INSERTION-SORT ( A )

1. **for**  $j = 2$  **to**  $A.length$

Invariant 1:  $A[1..j - 1]$  consists of the elements  
originally in  $A[1..j - 1]$ , but in sorted order

2.  $key = A[j]$

3. // insert  $A[j]$  into the sorted sequence  $A[1..j - 1]$

4.  $i = j - 1$

5. **while**  $i > 0$  **and**  $A[i] > key$

Invariant 2:  $A[i..j]$  are each  $\geq key$

6.  $A[i + 1] = A[i]$

7.  $i = i - 1$

8.  $A[i + 1] = key$

When the inner loop terminates we know the following.

- $A[1..i]$  is sorted with each element  $\leq key$ 
  - if  $i = 0$ , true by default
  - if  $i > 0$ , true because  $A[1..i]$  is sorted and  $A[i] \leq key$
- $A[i + 1..j]$  is sorted with each element  $\geq key$  because the following held before  $i$  was decremented:  $A[i..j]$  is sorted with each item  $\geq key$
- $A[i + 1] = A[i + 2]$  if the loop was executed at least once, and  $A[i + 1] = key$  otherwise

# Loop Invariant 1: Maintenance

## Loop Invariant 2: Termination

### INSERTION-SORT ( A )

1. **for**  $j = 2$  **to**  $A.length$

Invariant 1:  $A[1..j - 1]$  consists of the elements originally in  $A[1..j - 1]$ , but in sorted order

2.  $key = A[j]$

3. // insert  $A[j]$  into the sorted sequence  $A[1..j - 1]$

4.  $i = j - 1$

5. **while**  $i > 0$  **and**  $A[i] > key$

Invariant 2:  $A[i..j]$  are each  $\geq key$

6.  $A[i + 1] = A[i]$

7.  $i = i - 1$

8.  $A[i + 1] = key$

When the inner loop terminates we know the following.

- $A[1..i]$  is sorted with each element  $\leq key$
- $A[i + 1..j]$  is sorted with each element  $\geq key$
- $A[i + 1] = A[i + 2]$  or  $A[i + 1] = key$

Given the facts above, line 8 does not destroy any data, and gives us  $A[1..j]$  as the sorted permutation of the original data in  $A[1..j]$ .

# Loop Invariant 1: Termination

## INSERTION-SORT ( A )

1. **for**  $j = 2$  **to**  $A.length$

**Invariant 1:**  $A[1..j - 1]$  consists of the elements originally in  $A[1..j - 1]$ , but in sorted order

2.  $key = A[j]$

3. // insert  $A[j]$  into the sorted sequence  $A[1..j - 1]$

4.  $i = j - 1$

5. **while**  $i > 0$  **and**  $A[i] > key$

**Invariant 2:**  $A[i..j]$  are each  $\geq key$

6.  $A[i + 1] = A[i]$

7.  $i = i - 1$

8.  $A[i + 1] = key$

When the outer loop terminates we know that  $j = A.length + 1$ .

Hence,  $A[1..j - 1]$  is the entire array  $A[1..A.length]$ , which is sorted and contains the original elements of  $A[1..A.length]$ .

# Worst Case Runtime of Insertion Sort ( Upper Bound )

## INSERTION-SORT ( A )

	<u>cost</u>	<u>times</u>
1. <b>for</b> $j = 2$ <b>to</b> $A.length$	$c_1$	$n$
2. $key = A[j]$	$c_2$	} $n - 1$
3.       // insert $A[j]$ into the sorted sequence $A[1..j - 1]$	0	
4. $i = j - 1$	$c_4$	
5. <b>while</b> $i > 0$ <b>and</b> $A[i] > key$	$c_5$	} $\sum_{2 \leq j \leq n} j$
6. $A[i + 1] = A[i]$	$c_6$	
7. $i = i - 1$	$c_7$	
8. $A[i + 1] = key$	$c_8$	} $\sum_{2 \leq j \leq n} (j - 1)$
		} $n - 1$

Running time,  $T(n) \leq c_1 n + c_2(n - 1) + c_4(n - 1)$

$$+ c_5 \sum_{j=2}^n j + c_6 \sum_{j=2}^n (j - 1) + c_7 \sum_{j=2}^n (j - 1) + c_8(n - 1)$$

$$= 0.5(c_5 + c_6 + c_7)n^2 + 0.5(2c_1 + 2c_2 + 2c_4 + c_5 - c_6 - c_7 + 2c_8)n - (c_2 + c_4 + c_5 + c_8)$$

$$\Rightarrow T(n) = O(n^2)$$

# Best Case Runtime of Insertion Sort ( Lower Bound )

## INSERTION-SORT ( A )

	<u>cost</u>	<u>times</u>
1. <b>for</b> $j = 2$ <b>to</b> $A.length$	$c_1$	$n$
2. $key = A[j]$	$c_2$	$n - 1$
3.     // insert $A[j]$ into the sorted sequence $A[1..j - 1]$	0	
4. $i = j - 1$	$c_4$	
5. <b>while</b> $i > 0$ <b>and</b> $A[i] > key$	$c_5$	0
6. $A[i + 1] = A[i]$	$c_6$	
7. $i = i - 1$	$c_7$	
8. $A[i + 1] = key$	$c_8$	$n - 1$

$$\text{Running time, } T(n) \geq c_1 n + c_2(n - 1) + c_4(n - 1) \\ + c_5(n - 1) + c_8(n - 1)$$

$$= (c_1 + c_2 + c_4 + c_5 + c_8)n - (c_2 + c_4 + c_5 + c_8)$$

$$\Rightarrow T(n) = \Omega(n)$$



# Selection Sort

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

**Output:** Elements of  $A[1 : n]$  rearranged in non-decreasing order of value.

## SELECTION-SORT ( $A$ )

1. **for**  $j = 1$  **to**  $A.length$
2.     // find the index of an entry with the smallest value in  $A[j..A.length]$
3.      $min = j$
4.     **for**  $i = j + 1$  **to**  $A.length$
5.         **if**  $A[i] < A[min]$
6.              $min = i$
7.     // swap  $A[j]$  and  $A[min]$
8.      $A[j] \leftrightarrow A[min]$

# Selection Sort

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

**Output:** Elements of  $A[1 : n]$  rearranged in non-decreasing order of value.

## SELECTION-SORT ( $A$ )

1. **for**  $j = 1$  **to**  $A.length$

Invariant 1: ?

2. // find the index of an entry with the smallest value in  $A[j..A.length]$

3.  $min = j$

4. **for**  $i = j + 1$  **to**  $A.length$

Invariant 2: ?

5. **if**  $A[i] < A[min]$

6.  $min = i$

7. // swap  $A[j]$  and  $A[min]$

8.  $A[j] \leftrightarrow A[min]$

# Merging Two Sorted Subarrays

**Input:** Two subarrays  $A[p : q]$  and  $A[q + 1 : r]$  in sorted order ( $p \leq q < r$ ).

**Output:** A single sorted subarray  $A[p : r]$  by merging the input subarrays.

**MERGE** (  $A, p, q, r$  )

1.  $n_1 = q - p + 1$
2.  $n_2 = r - q$
3. Let  $L[1 : n_1 + 1]$  and  $R[1 : n_2 + 1]$  be new arrays
4. **for**  $i = 1$  **to**  $n_1$
5.      $L[i] = A[p + i - 1]$
6. **for**  $j = 1$  **to**  $n_2$
7.      $R[j] = A[q + j]$
8.  $L[n_1 + 1] = \infty$
9.  $R[n_2 + 1] = \infty$
10.  $i = 1$
11.  $j = 1$
12. **for**  $k = p$  **to**  $r$
13.     **if**  $L[i] \leq R[j]$
14.          $A[k] = L[i]$
15.          $i = i + 1$
16.     **else**  $A[k] = R[j]$
17.          $j = j + 1$

# Merging Two Sorted Subarrays

**Input:** Two subarrays  $A[p : q]$  and  $A[q + 1 : r]$  in sorted order ( $p \leq q < r$ ).

**Output:** A single sorted subarray  $A[p : r]$  by merging the input subarrays.

**MERGE** ( $A, p, q, r$ )

1.  $n_1 = q - p + 1$
2.  $n_2 = r - q$
3. Let  $L[1 : n_1 + 1]$  and  $R[1 : n_2 + 1]$  be new arrays
4. **for**  $i = 1$  **to**  $n_1$
5.      $L[i] = A[p + i - 1]$
6. **for**  $j = 1$  **to**  $n_2$
7.      $R[j] = A[q + j]$
8.  $L[n_1 + 1] = \infty$
9.  $R[n_2 + 1] = \infty$
10.  $i = 1$
11.  $j = 1$
12. **for**  $k = p$  **to**  $r$
13.     **if**  $L[i] \leq R[j]$
14.          $A[k] = L[i]$
15.          $i = i + 1$
16.     **else**  $A[k] = R[j]$
17.          $j = j + 1$

## Loop Invariant

At the start of each iteration of the **for** loop of lines 12–17 the following invariant holds:

*The subarray  $A[p : k - 1]$  contains the  $k - p$  smallest elements of  $L[1 : n_1 + 1]$  and  $R[1 : n_2 + 1]$ , in sorted order.*

*Moreover,  $L[i]$  and  $R[j]$  are the smallest elements of their arrays that have not been copied back into  $A$ .*

# Merging Two Sorted Subarrays

**Input:** Two subarrays  $A[p : q]$  and  $A[q + 1 : r]$  in sorted order ( $p \leq q < r$ ).

**Output:** A single sorted subarray  $A[p : r]$  by merging the input subarrays.

**MERGE** (  $A, p, q, r$  )

1.  $n_1 = q - p + 1$
2.  $n_2 = r - q$
3. Let  $L[1 : n_1 + 1]$  and  $R[1 : n_2 + 1]$  be new arrays
4. **for**  $i = 1$  **to**  $n_1$
5.      $L[i] = A[p + i - 1]$
6. **for**  $j = 1$  **to**  $n_2$
7.      $R[j] = A[q + j]$
8.  $L[n_1 + 1] = \infty$
9.  $R[n_2 + 1] = \infty$
10.  $i = 1$
11.  $j = 1$
12. **for**  $k = p$  **to**  $r$
13.     **if**  $L[i] \leq R[j]$
14.          $A[k] = L[i]$
15.          $i = i + 1$
16.     **else**  $A[k] = R[j]$
17.          $j = j + 1$

## Running Time

Let  $n = r - p + 1$ .

Then  $n = n_1 + n_2$ .

The loop in lines 4–5 takes  $\Theta(n_1)$  time.

The loop in lines 6–7 takes  $\Theta(n_2)$  time.

The loop in lines 12–17 takes  $\Theta(n)$  time.

Lines 1–3 and 8–11 take  $\Theta(1)$  time.

Overall running time

$$= \Theta(n_1) + \Theta(n_2) + \Theta(n) + \Theta(1)$$

$$= \Theta(n)$$

# Divide-and-Conquer

1. **Divide:** divide the original problem into smaller subproblems that are easier to solve
2. **Conquer:** solve the smaller subproblems  
( perhaps recursively )
3. **Merge:** combine the solutions to the smaller subproblems to obtain a solution for the original problem

# Intuition Behind Merge Sort

1. **Base case:** We know how to correctly sort an array containing only a single element.

Indeed, an array of one number is already trivially sorted!

2. **Reduction to base case ( recursive divide-and-conquer ):**

At each level of recursion we split the current subarray at the midpoint ( approx ) to obtain two subsubarrays of equal or almost equal lengths, and sort them recursively.

We are guaranteed to reach subproblems of size 1 ( i.e., the base case size ) eventually which are trivially sorted.

3. **Merge:** We know how to merge two ( recursively ) sorted subarrays to obtain a longer sorted subarray.

# Merge Sort

**Input:** A subarray  $A[ p : r ]$  of  $r - p + 1$  numbers, where  $p \leq r$ .

**Output:** Elements of  $A[ p : r ]$  rearranged in non-decreasing order of value.

**MERGE-SORT** (  $A, p, r$  )

1. **if**  $p < r$  **then**
2.     // split  $A[p..r]$  into two approximately equal halves  $A[p..q]$  and  $A[q + 1..r]$
3.      $q = \lfloor \frac{p+r}{2} \rfloor$
4.     // recursively sort the left half
5.     **MERGE-SORT** (  $A, p, q$  )
6.     // recursively sort the right half
7.     **MERGE-SORT** (  $A, q + 1, r$  )
8.     // merge the two sorted halves and put the sorted sequence in  $A[p..r]$
9.     **MERGE** (  $A, p, q, r$  )



# Correctness of Merge Sort

```
MERGE-SORT ( A, p, r )
```

1. **if**  $p < r$  **then**
2.     // split  $A[p..r]$  into two approximately equal halves  $A[p..q]$  and  $A[q+1..r]$
3.      $q = \lfloor \frac{p+r}{2} \rfloor$
4.     // recursively sort the left half
5.     MERGE-SORT ( A, p, q )
6.     // recursively sort the right half
7.     MERGE-SORT ( A, q + 1, r )
8.     // merge the two sorted halves and put the sorted sequence in  $A[p..r]$
9.     MERGE ( A, p, q, r )

The proof has two parts.

- First we will show that the algorithm terminates.
- Then we will show that the algorithm produces correct results ( assuming the algorithm terminates ).

# Termination Guarantee

MERGE-SORT (  $A, p, r$  )

1. **if**  $p < r$  **then**
2.     // split  $A[p..r]$  into two approximately equal halves  $A[p..q]$  and  $A[q+1..r]$
3.      $q = \lfloor \frac{p+r}{2} \rfloor$
4.     // recursively sort the left half
5.     MERGE-SORT (  $A, p, q$  )
6.     // recursively sort the right half
7.     MERGE-SORT (  $A, q+1, r$  )
8.     // merge the two sorted halves and put the sorted sequence in  $A[p..r]$
9.     MERGE (  $A, p, q, r$  )

Size of the input subarray,  $n = r - p + 1$

Size of the left half,  $n_1 = q - p + 1$

Size of the right half,  $n_2 = r - (q + 1) + 1 = r - q$

We will show the following:  $n_1 < n$  and  $n_2 < n$

**Meaning:** Sizes of subproblems decrease by at least 1 in each recursive call, and so there cannot be more than  $n - 1$  levels of recursion. So MERGE-SORT will terminate in finite time.

# Termination Guarantee

MERGE-SORT (  $A, p, r$  )

1. **if**  $p < r$  **then**
2.     // split  $A[p..r]$  into two approximately equal halves  $A[p..q]$  and  $A[q+1..r]$
3.      $q = \lfloor \frac{p+r}{2} \rfloor$
4.     // recursively sort the left half
5.     MERGE-SORT (  $A, p, q$  )
6.     // recursively sort the right half
7.     MERGE-SORT (  $A, q+1, r$  )
8.     // merge the two sorted halves and put the sorted sequence in  $A[p..r]$
9.     MERGE (  $A, p, q, r$  )

A problem will be recursively subdivided ( i.e., lines 5 and 7 will be executed ) provided the following holds in line 1:  $p < r$

But  $p < r$  implies:

$$\begin{aligned} p + r < 2r &\Rightarrow \frac{p+r}{2} < r \Rightarrow \left\lfloor \frac{p+r}{2} \right\rfloor < r \\ &\Rightarrow q < r \Rightarrow q - p + 1 < r - p + 1 \Rightarrow n_1 < n \end{aligned}$$

# Termination Guarantee

MERGE-SORT (  $A, p, r$  )

1. **if**  $p < r$  **then**
2.     // split  $A[p..r]$  into two approximately equal halves  $A[p..q]$  and  $A[q+1..r]$
3.      $q = \lfloor \frac{p+r}{2} \rfloor$
4.     // recursively sort the left half
5.     MERGE-SORT (  $A, p, q$  )
6.     // recursively sort the right half
7.     MERGE-SORT (  $A, q+1, r$  )
8.     // merge the two sorted halves and put the sorted sequence in  $A[p..r]$
9.     MERGE (  $A, p, q, r$  )

A problem will be recursively subdivided ( i.e., lines 5 and 7 will be executed ) provided the following holds in line 1:  $p < r$

$p < r$  also implies:

$$2p < p + r \Rightarrow p < \frac{p+r}{2} \Rightarrow p \leq \left\lfloor \frac{p+r}{2} \right\rfloor \Rightarrow p \leq q$$

$$\Rightarrow -q \leq -p \Rightarrow r - q \leq r - p \Rightarrow r - q < r - p + 1 \Rightarrow n_2 < n$$

# Inductive Proof of Correctness

```
MERGE-SORT ( A, p, r )
```

1. **if**  $p < r$  **then**
2.     // split  $A[p..r]$  into two approximately equal halves  $A[p..q]$  and  $A[q+1..r]$
3.      $q = \lfloor \frac{p+r}{2} \rfloor$
4.     // recursively sort the left half
5.     MERGE-SORT ( A, p, q )
6.     // recursively sort the right half
7.     MERGE-SORT ( A, q + 1, r )
8.     // merge the two sorted halves and put the sorted sequence in  $A[p..r]$
9.     MERGE ( A, p, q, r )

Let  $n = r - p + 1$ .

**Base Case:** The algorithm is trivially correct when  $r \geq p$ , i.e.,  $n \leq 1$ .

**Inductive Hypothesis:** Suppose the algorithm works correctly for all integral values of  $n$  not larger than  $k$ , where  $k \geq 1$  is an integer.

**Inductive Step:** We will prove that the algorithm works correctly for  $n = k + 1$ .

# Inductive Proof of Correctness

```
MERGE-SORT ( A, p, r )  
  
1.  if p < r then  
2.    // split A[p..r] into two approximately equal halves A[p..q] and A[q + 1..r]  
3.    q = ⌊ $\frac{p+r}{2}$ ⌋  
4.    // recursively sort the left half  
5.    MERGE-SORT ( A, p, q )  
6.    // recursively sort the right half  
7.    MERGE-SORT ( A, q + 1, r )  
8.    // merge the two sorted halves and put the sorted sequence in A[p..r]  
9.    MERGE ( A, p, q, r )
```

When  $n = k + 1$ , lines 2–9 of the algorithm will be executed because  $k \geq 1 \Rightarrow n > 1 \Rightarrow r - p + 1 > 1 \Rightarrow p < r$  holds in line 1.

The algorithm splits the input subarray  $A[p:r]$  into two parts:

$A[p:q]$  and  $A[q + 1:r]$ , where  $q = \left\lfloor \frac{p+r}{2} \right\rfloor$ .

The recursive call in line 5 sorts the left part  $A[p:q]$ . Since  $A[p:q]$  contains  $n_1 = q - p + 1 < n \Rightarrow n_1 \leq k$  numbers, it is sorted correctly (using inductive hypothesis).

# Inductive Proof of Correctness

```
MERGE-SORT ( A, p, r )  
  
1.  if p < r then  
2.    // split A[p..r] into two approximately equal halves A[p..q] and A[q + 1..r]  
3.    q =  $\lfloor \frac{p+r}{2} \rfloor$   
4.    // recursively sort the left half  
5.    MERGE-SORT ( A, p, q )  
6.    // recursively sort the right half  
7.    MERGE-SORT ( A, q + 1, r )  
8.    // merge the two sorted halves and put the sorted sequence in A[p..r]  
9.    MERGE ( A, p, q, r )
```

The recursive call in line 7 sorts the right part  $A[q + 1:r]$ . Since  $A[q + 1:r]$  contains  $n_2 = r - q < n \Rightarrow n_2 \leq k$  numbers, it is sorted correctly (using inductive hypothesis).

We know that the MERGE algorithm can merge two sorted arrays correctly. So, line 9 correctly merges the sorted left and right parts of the input subarray into a single sorted sequence in  $A[p:r]$ .

Therefore, the algorithm works correctly for  $n = k + 1$ , and consequently for all integral values of  $n$ .

# Analyzing Divide-and-Conquer Algorithms

Let  $T(n)$  be the running time of the algorithm on a problem of size  $n$ .

- If the problem size is small enough, say  $n \leq c$  for some constant  $c$ , the straightforward solution takes  $\Theta(1)$  time.
- Suppose our division of the problem yields  $a$  subproblems, each of which is  $1/b$  the size of the original.
- Let  $D(n)$  = time needed to divide the problem into subproblems.
- Let  $C(n)$  = time needed to combine the solutions to the subproblems into the solution to the original problem.

$$\text{Then } T(n) = \begin{cases} \Theta(1) & \text{if } n \leq c, \\ aT\left(\frac{n}{b}\right) + D(n) + C(n) & \text{otherwise.} \end{cases}$$



# Analysis of Merge Sort

Let  $T(n)$  be the worst-case running time of MERGE-SORT on  $n$  numbers.

We reason as follows to set up the recurrence for  $T(n)$ .

- When  $n = 1$ , MERGE-SORT takes  $\Theta(1)$  time.
- When  $n > 1$ , we break down the running time as follows.
  - **Divide:** This step simply computes the middle of the subarray, which takes constant time. Hence,  $D(n) = \Theta(1)$ .
  - **Conquer:** We recursively solve 2 subproblems of size  $n/2$  each, which adds  $2T(n/2)$  to the running time.
  - **Combine:** The MERGE procedure takes  $\Theta(n)$  time on an  $n$ -element subarray. Hence,  $C(n) = \Theta(n)$ .

$$\text{Then } T(n) = \begin{cases} \Theta(1) & \text{if } n = 1, \\ 2T\left(\frac{n}{2}\right) + \Theta(n) & \text{if } n > 1. \end{cases}$$

# Analysis of Merge Sort

Let us assume for simplicity that  $n = 2^k$  for some integer  $k \geq 0$ , and for constants  $c_1$  and  $c_2$ :

$$T(n) = \begin{cases} c_1 & \text{if } n = 1, \\ 2T\left(\frac{n}{2}\right) + c_2n & \text{if } n > 1; \end{cases}$$

where,  $c_1$  is the time needed to solve a problem of size 1, and  $c_2$  is the time per array element of the divide and combine steps.

Let's see how the recursion unfolds.

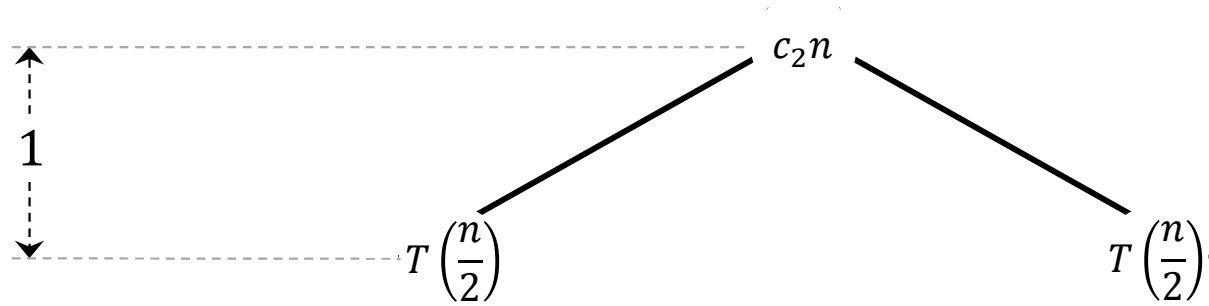
# Analysis of Merge Sort

Running time on an input of size  $n = 2^k$  for some integer  $k \geq 0$ :

$$T(n)$$

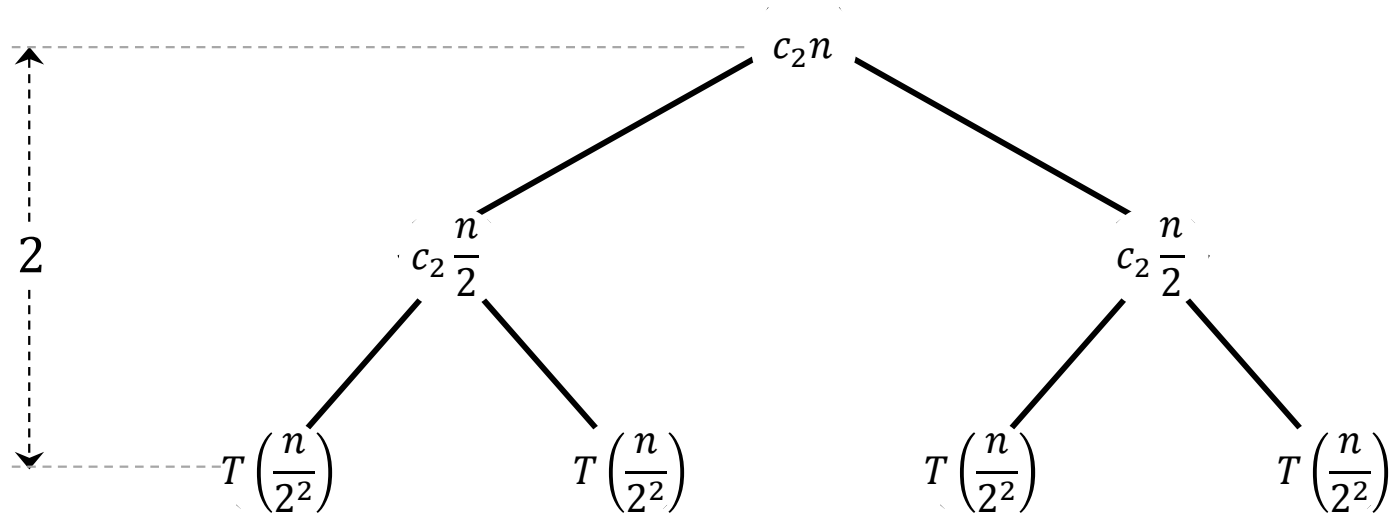
# Analysis of Merge Sort

Unfolding the recurrence up to level 1:



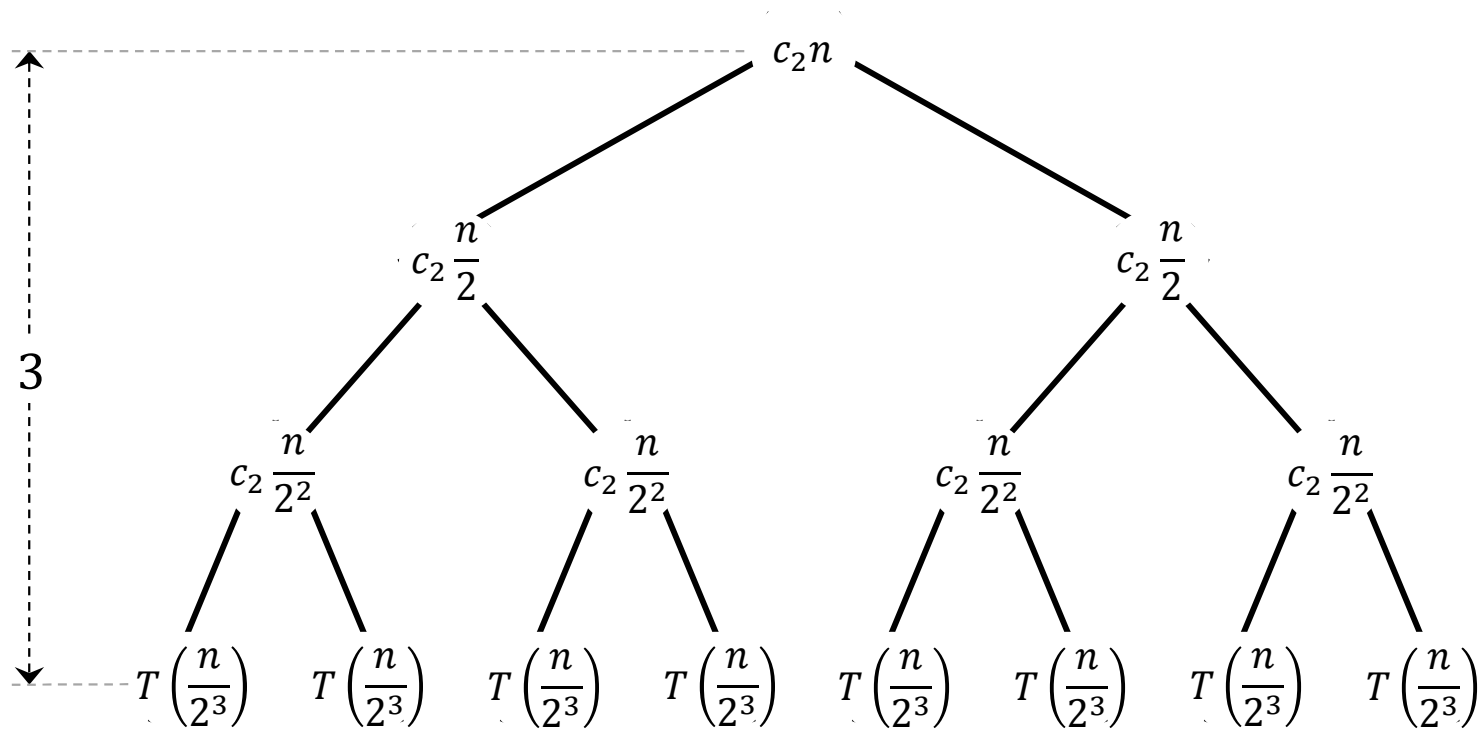
# Analysis of Merge Sort

Unfolding the recurrence up to level 2:



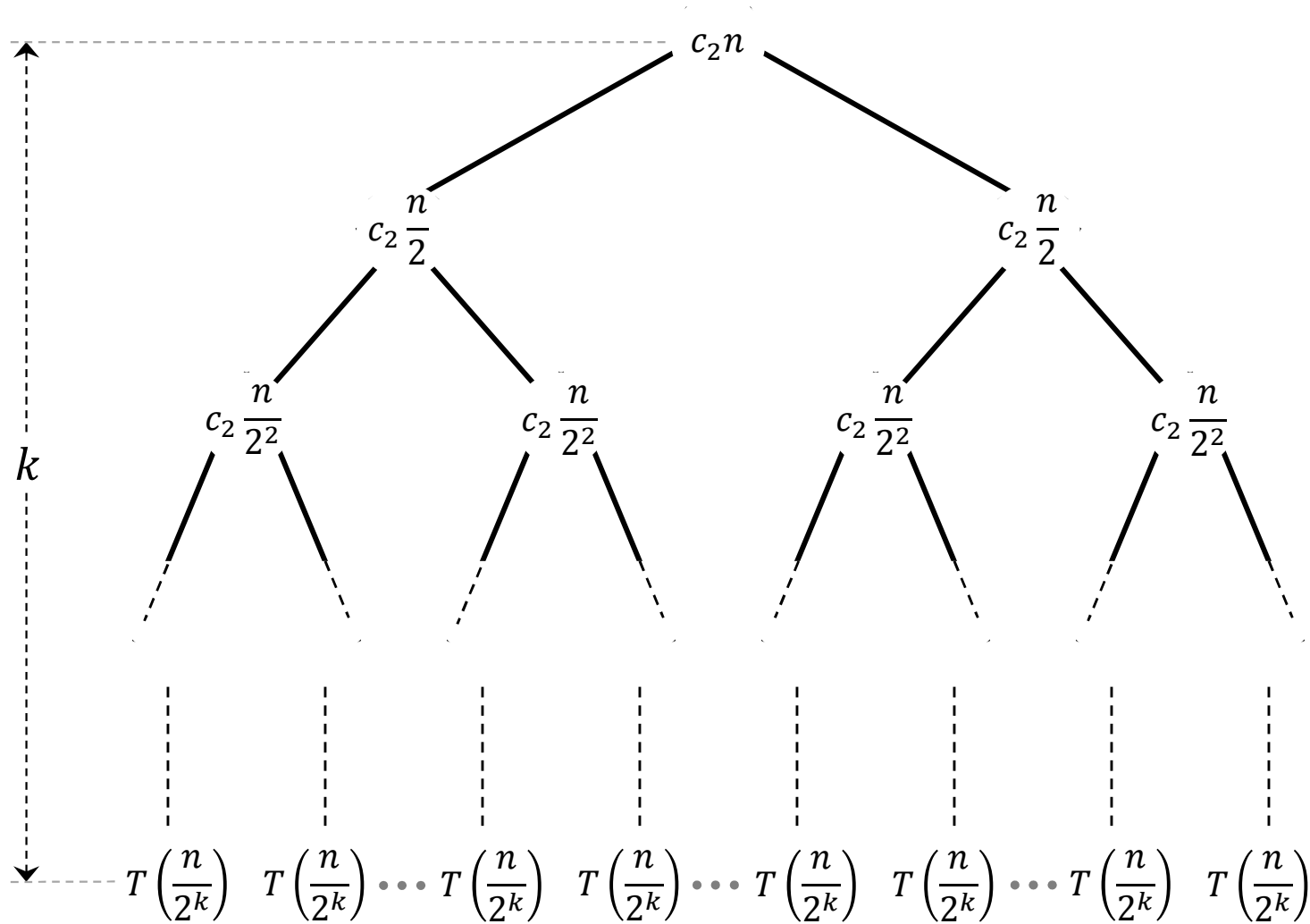
# Analysis of Merge Sort

Unfolding the recurrence up to level 3:



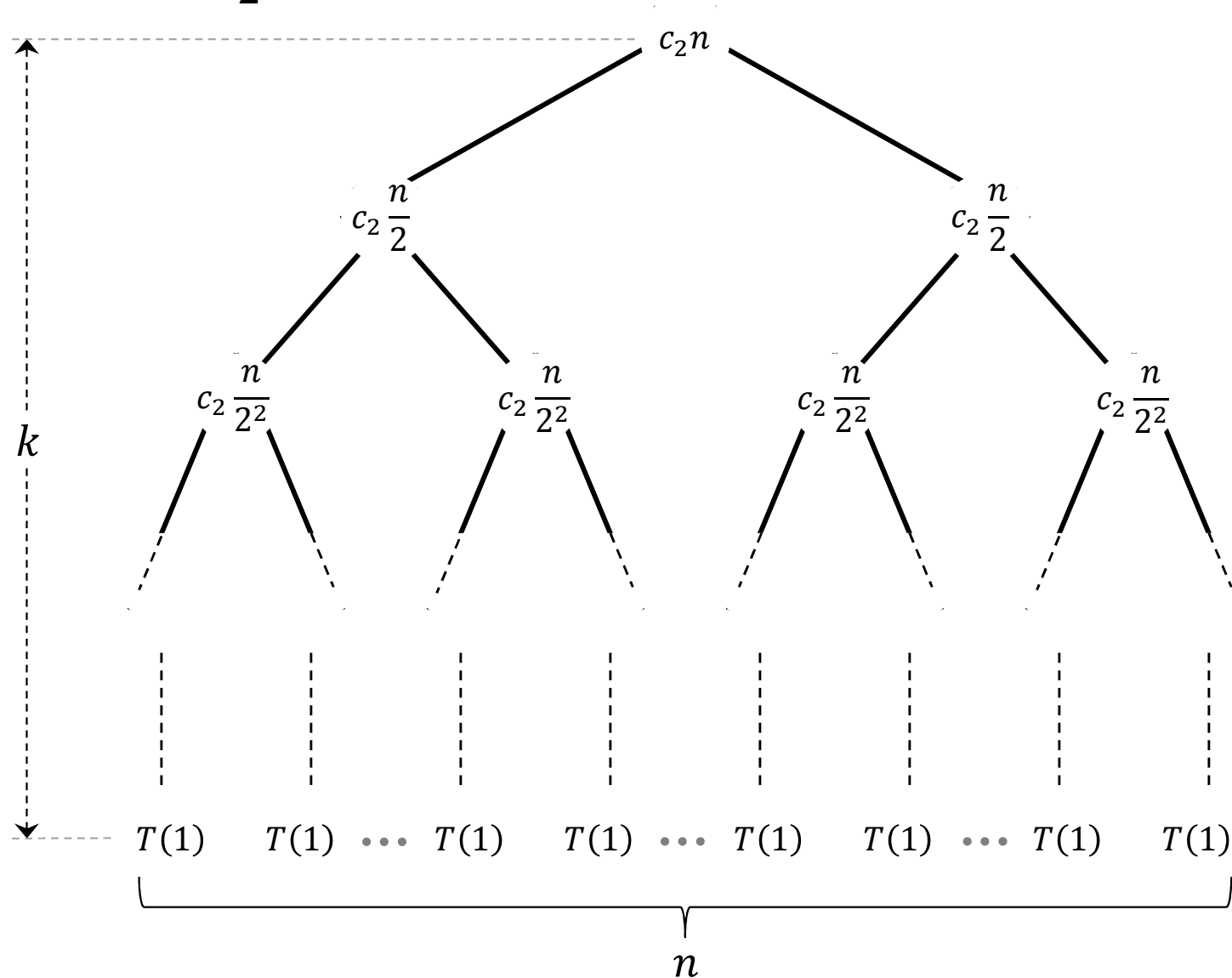
# Analysis of Merge Sort

Unfolding the recurrence up to level  $k$ :



# Analysis of Merge Sort

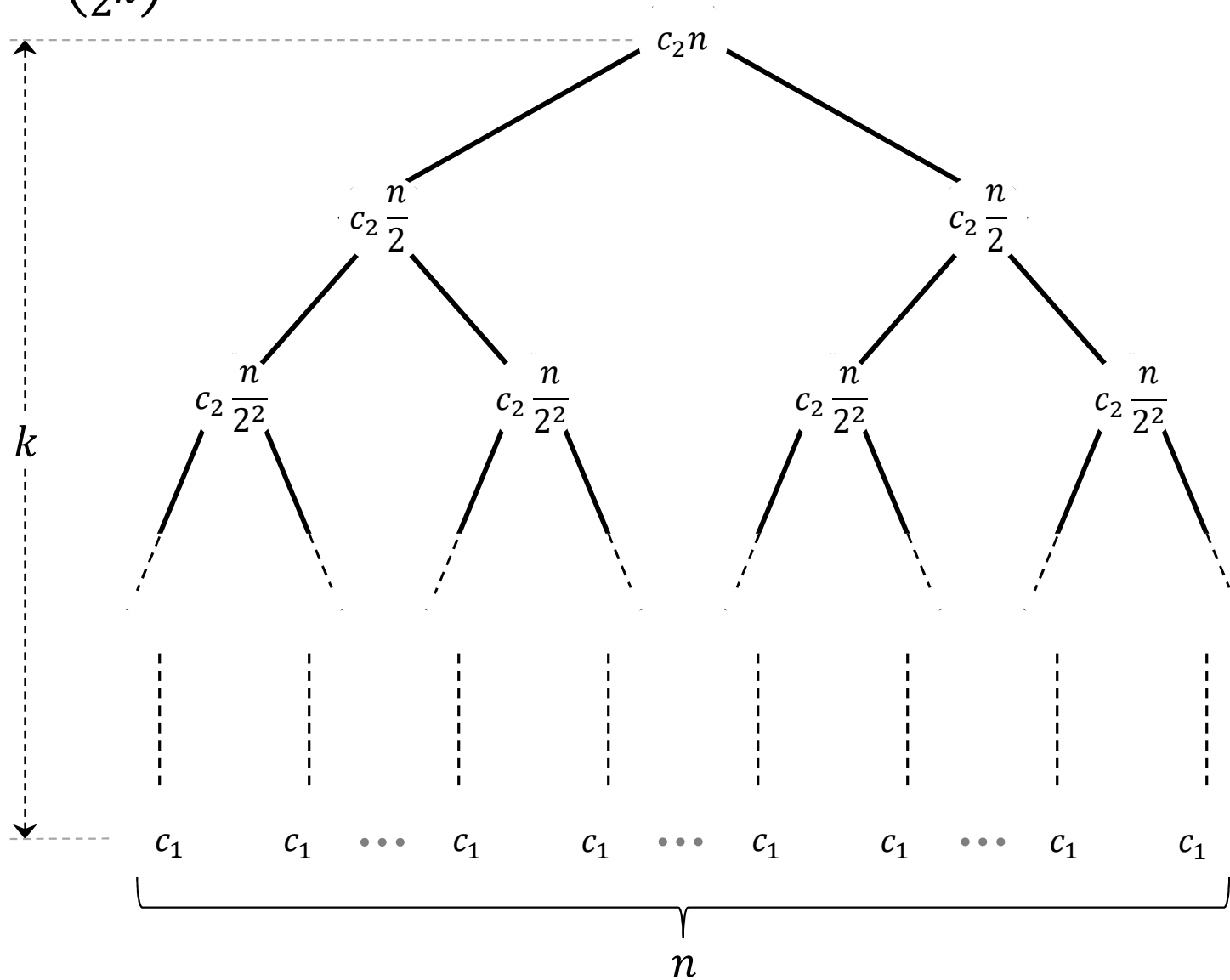
But  $n = 2^k \Rightarrow \frac{n}{2^k} = 1$ , and there will be  $n$  nodes (leaves) at level  $k$ :





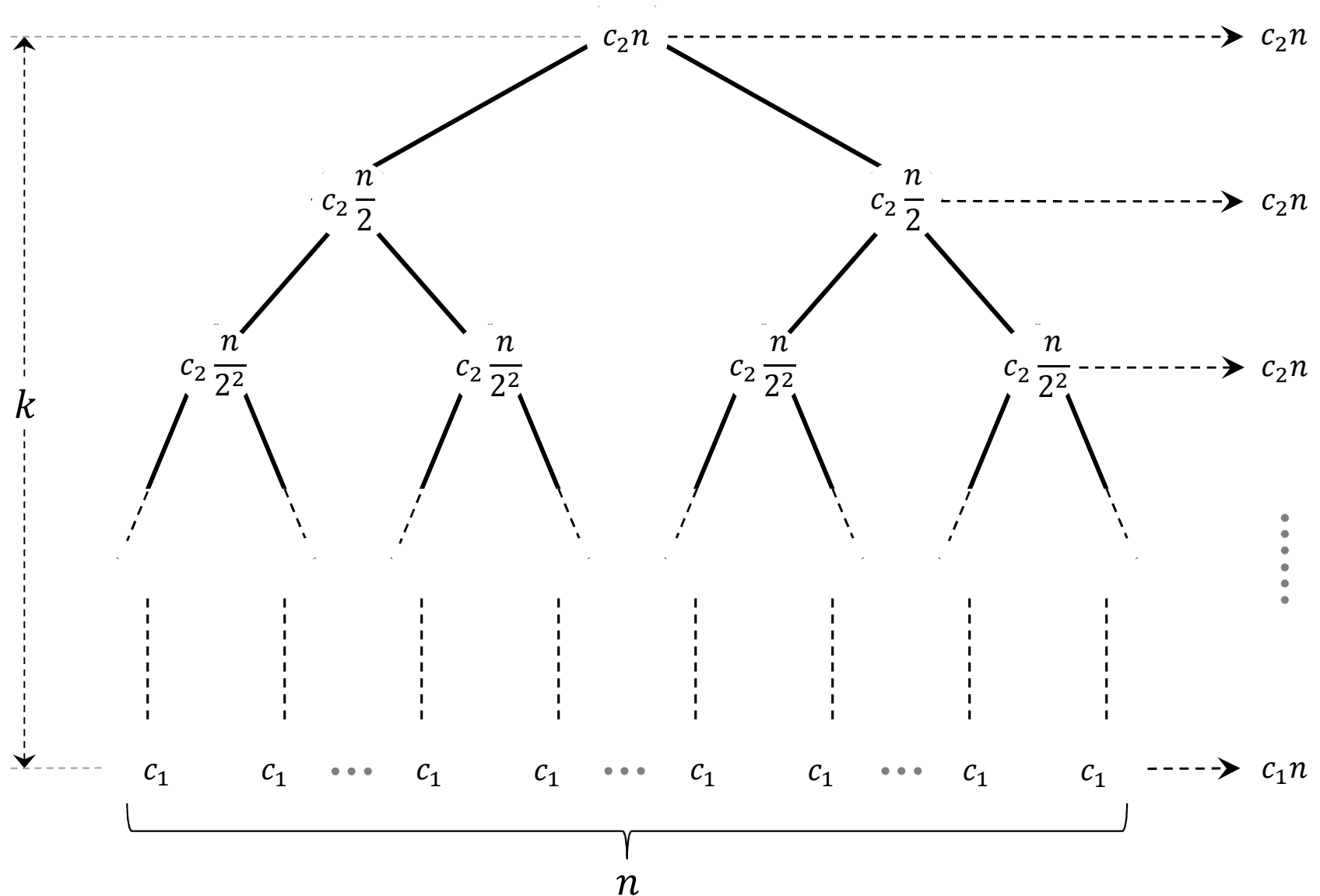
# Analysis of Merge Sort

Then  $T\left(\frac{n}{2^k}\right) = T(1) = c_1$ :



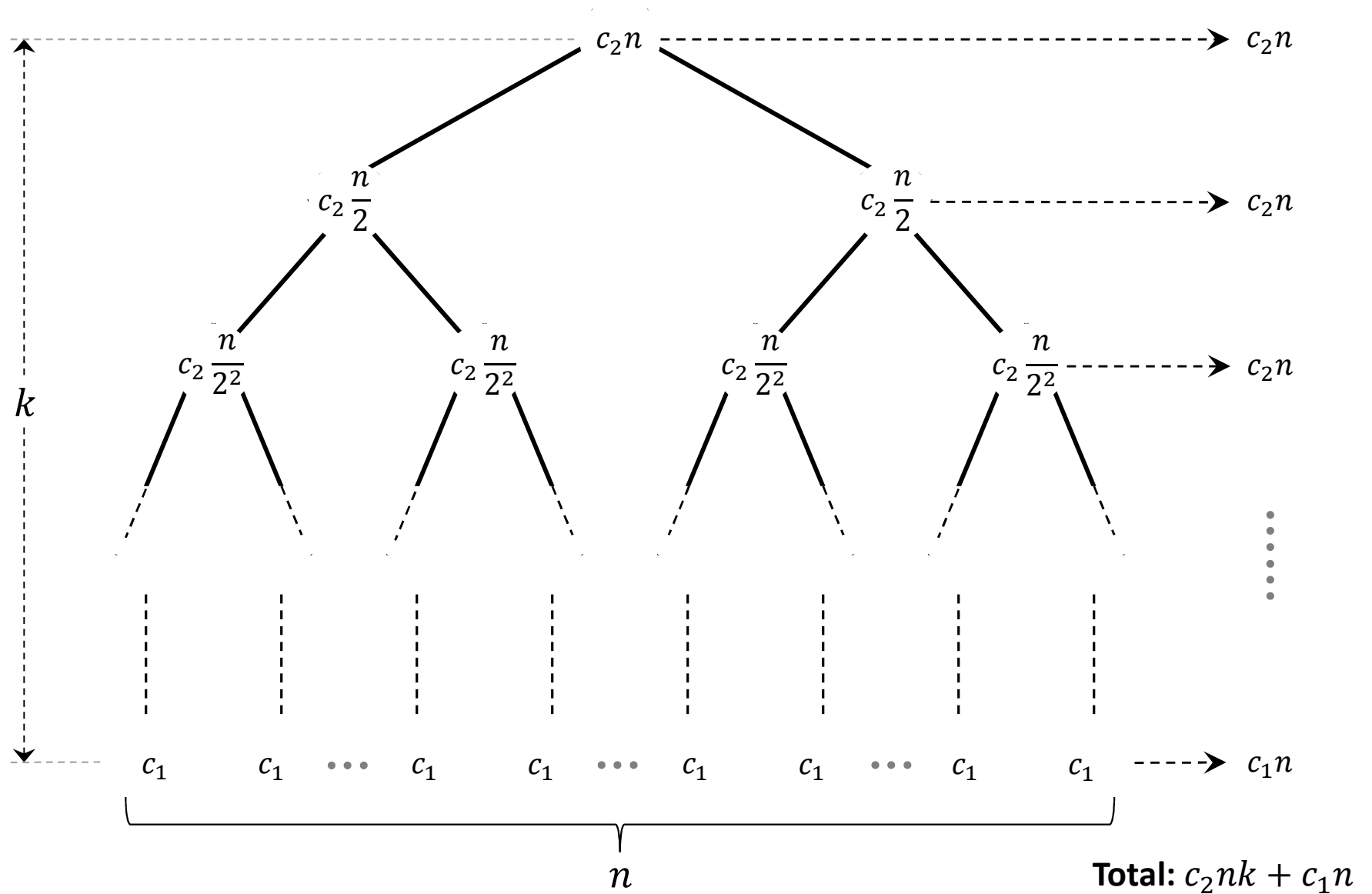
# Analysis of Merge Sort

Total work at each level:



# Analysis of Merge Sort

Total work across all levels:



# Analysis of Merge Sort

But  $n = 2^k \Rightarrow k = \log_2 n$ :

