Advanced Counting Techniques

CS1200, CSE IIT Madras

Meghana Nasre

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Advanced Counting Techniques

- Principle of Inclusion-Exclusion \checkmark
- Recurrences and its applications \checkmark
- Solving Recurrences

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- An elementary method to solve recurrences. elementary does not mean simple, but a something that does not need background
- Need to observe a pattern. Do not oversimplify.
- Creativity and experience with summation of series help.
- However, the pattern has to be observed for each recurrence and there is no generic rule. Are there some recurrences that can be solved by a formula?

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 if $n = 0$
 $= 2\sqrt{T(n-1)}$ otherwise

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T(n) = 12 if n = 0= 20 if n = 1= 2T(n-1) - T(n-2) otherwise Sol: T(n) = 8n + 12

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Linear recurrences

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Linear Homogeneous Recurrences with constant coefficients

$$a_n = c_1 a_{n-1} + c_2 a_{n-2} + \ldots + c_k a_{n-k}$$

 $1 \leq i \leq k$, c_i is a real number and $c_k \neq 0$

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Examples:

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$$T(n) = 2T(n-1)$$
 and $T(0) = 1$.

•
$$T(n) = T(n-1) + T(n-2)$$
 and $T(0) = 0, T(1) = 1.$

$$a_n = c_1 a_{n-1} + c_2 a_{n-2} + \ldots + c_k a_{n-k}$$

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• T(n) = T(n-1) + T(n-2) and T(0) = 0, T(1) = 1.

Non Examples:

- T(n) = nT(n-1) and T(0) = 1 does not have constant coefficients
- $T(n) = T(n-1) \cdot T(n-2)$ and T(0) = 0, T(1) = 1. not linear

$a_n = a_{n-1} + 2a_{n-2}$

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$\mathsf{Example}\ 1$

$$a_n = a_{n-1} + 2a_{n-2}$$

• Is this a well defined recurrence? No! base cases are missing.

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if base cases were $a_0 = 1, a_1 = 8$

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- None of the above are solutions.

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Qn: Is it possible to make use of "some" solutions (not necessarily satisfying base cases) to get a valid solution?

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Qn: Is it possible to make use of "some" solutions (not necessarily satisfying base cases) to get a valid solution?

Ans: Yes it is possible.

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• Degree two (or second order) says that *a_n* depends on two previous terms.

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Claim: If r_0, r_1, r_2, \ldots , and s_0, s_1, s_2, \ldots satisfy the same second order linear homogeneous recurrence with constant coefficients,

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What does it mean for our example earlier?

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we do have base cases yet!

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- $4 \cdot 2^n + 5 \cdot (-1)^n$ is also a solution!

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Claim: If r_0, r_1, r_2, \ldots , and s_0, s_1, s_2, \ldots satisfy the same second order linear homogeneous recurrence with constant coefficients, then for any constants α_1 and α_2 , and for all $n \ge 0$, we have $a_n = \alpha_1 r_n + \alpha_2 s_n$, also satisfies the same recurrence.

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- 2^n and $(-1)^n$ are solutions we have seen this earlier.
- $4 \cdot 2^n + 5 \cdot (-1)^n$ is also a solution! So is $2^n + (-3) \cdot (-1)^n$.
- In fact, for any constants α_1 and α_2 , $\alpha_1 \cdot 2^n + \alpha_2 \cdot (-1)^n$ is a solution.

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$$= \alpha_{1}r_{n} + \alpha_{2}s_{n} = a_{n}$$

This completes the proof.

$$a_n = a_{n-1} + 2a_{n-2}$$

 $a_0 = 1, a_1 = 8$

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• Goal: Obtain a closed form for the recurrence including base cases.

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We know that $\alpha_1 \cdot 2^n + \alpha_2 \cdot (-1)^n$ is a solution, for any constants α_1 , α_2 .

We use base cases to get values of α_1 and α_2 .

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$$a_0 = 1 = \alpha_1 \cdot 2^0 + \alpha_2 \cdot (-1)^0 = \alpha_1 + \alpha_2$$

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We use base cases to get values of α_1 and α_2 .

$$a_0 = 1 = \alpha_1 \cdot 2^0 + \alpha_2 \cdot (-1)^0 = \alpha_1 + \alpha_2$$

 $a_1 = 8$

$$a_n = a_{n-1} + 2a_{n-2}$$

 $a_0 = 1, a_1 = 8$

- 2^n and $(-1)^n$ are solutions (not satisfying base cases).
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Solving this for α_1, α_2 gives us : $\alpha_1 = 3$ and $\alpha_2 = -2$.

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Verify that $3 \cdot 2^n + (-2) \cdot (-1)^n$ is a solution to the recurrence.

 $a_n = c_1 a_{n-1} + c_2 a_{n-2}$

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 $a_n = c_1 a_{n-1} + c_2 a_{n-2}$

Claim: The above recurrence is satisfied by the sequence

 $1, t, t^2, t^3, \ldots, t^n, \ldots$

where t is a non-zero real number **iff** t satisfies

$$t^2 - c_1 t - c_2 = 0$$

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• The characteristic equation for Example 1 is $t^2 - t - 2 = 0$.

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- The characteristic equation for Example 1 is $t^2 t 2 = 0$.
- 2 and (-1) are indeed solutions of the above equation.

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Linear Homogeneous Recurrences of degree two with constant coefficients

Input:

$$a_n = c_1 a_{n-1} + c_2 a_{n-2}$$

$$a_0 = x \quad a_1 = y$$

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Linear Homogeneous Recurrences of degree two with constant coefficients

Input:

 $a_n = c_1 a_{n-1} + c_2 a_{n-2}$ $a_0 = x a_1 = y$

Goal: To obtain a closed form satisfying base cases.

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$$a_n = c_1 a_{n-1} + c_2 a_{n-2}$$

 $a_0 = x a_1 = y$

Goal: To obtain a closed form satisfying base cases.

• Write down characteristic equation $t^2 - c_1 t - c_2 = 0$.

$$a_n = c_1 a_{n-1} + c_2 a_{n-2}$$

 $a_0 = x a_1 = y$

Goal: To obtain a closed form satisfying base cases.

- Write down characteristic equation $t^2 c_1 t c_2 = 0$.
- Solve the characteristic equation to get roots.

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 two possibilities two distinct roots or a single root with multiplicity two

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Distinct Roots case: If two distinct roots, r_1 and r_2 , then by previous claim, we know that following sequence also satisfies the recurrence

$$a_n = \alpha_1 r_1^n + \alpha_2 r_2^n$$

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Use base cases $a_0 = x$ and $a_1 = y$ to compute values for α_1 and α_2 .

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Single Roots case: Coming up.

Fibonacci Sequence

$$f_n = f_{n-1} + f_{n-2}$$

$$f_0 = 1 \quad f_1 = 1$$

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$$\begin{array}{rcl} f_n & = & f_{n-1} + f_{n-2} \\ f_0 & = & 1 & f_1 = 1 \end{array}$$

We can obtain a closed form using the above technique.

• Characteristic equation: $t^2 - t - 1 = 0$.

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- Characteristic equation: $t^2 t 1 = 0$.
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$$r_1 = rac{1+\sqrt{5}}{2}$$
 $r_2 = rac{1-\sqrt{5}}{2}$

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• Solve $\alpha_1 r_1^0 + \alpha_2 r_2^0 = 1$ and $\alpha_1 r_1^1 + \alpha_2 r_2^1 = 1$ to obtain α_1 and α_2 .

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• Final solution is

$$f_n = \alpha_1 \cdot \left(\frac{1+\sqrt{5}}{2}\right)^n + \alpha_2 \cdot \left(\frac{1-\sqrt{5}}{2}\right)^n$$

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Ex:

• Find values of α_1 and α_2 .

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Ex:

- Find values of α₁ and α₂.
- Change the base cases to say $f_0 = 2$ and $f_1 = 3$ and observe how the solution changes.

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- Roots of the characteristic equation are:

$$r_1 = rac{1+\sqrt{5}}{2}$$
 $r_2 = rac{1-\sqrt{5}}{2}$

• Solve $\alpha_1 r_1^0 + \alpha_2 r_2^0 = 1$ and $\alpha_1 r_1^1 + \alpha_2 r_2^1 = 1$ to obtain α_1 and α_2 .

Final solution is

$$f_n = \alpha_1 \cdot \left(\frac{1+\sqrt{5}}{2}\right)^n + \alpha_2 \cdot \left(\frac{1-\sqrt{5}}{2}\right)^n$$

Ex:

- Find values of α₁ and α₂.
- Change the base cases to say $f_0 = 2$ and $f_1 = 3$ and observe how the solution changes. Check for another choice of base cases.

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Advanced Counting Techniques

• Special types of recurrences: Linear homogeneous recurrence relations of degree two with constant coefficients.

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- Characteristic equation.

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- Upcoming: Single roots case and the non-homogeneous case.

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- Special types of recurrences: Linear homogeneous recurrence relations of degree two with constant coefficients.
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- Closed form when the characteristic equation has distinct roots.
- Upcoming: Single roots case and the non-homogeneous case.
- References: Section 8.2 [KR]

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