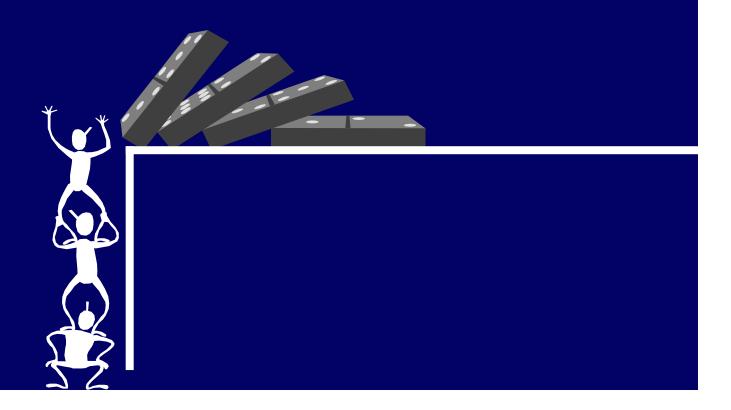
Great Theoretical Ideas In Computer Science

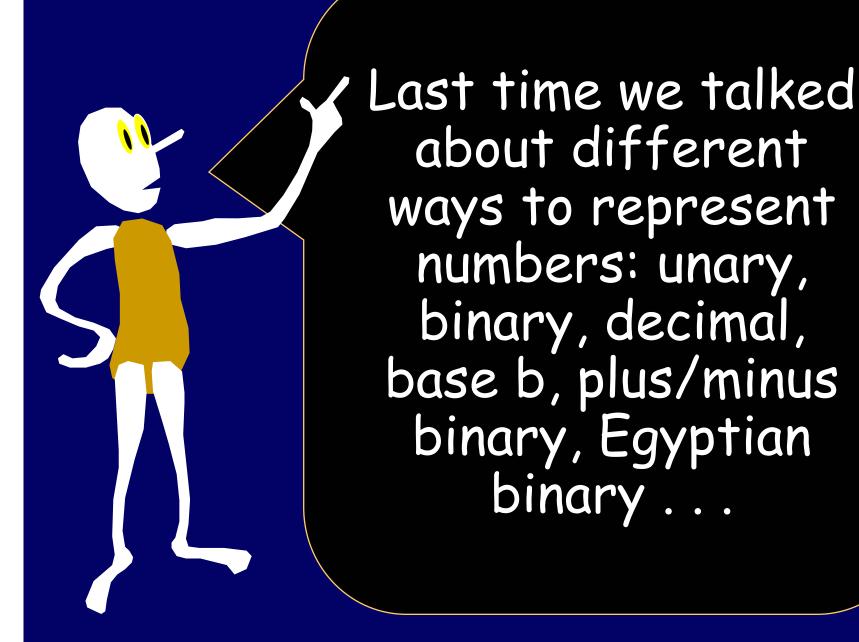
Steven Rudich

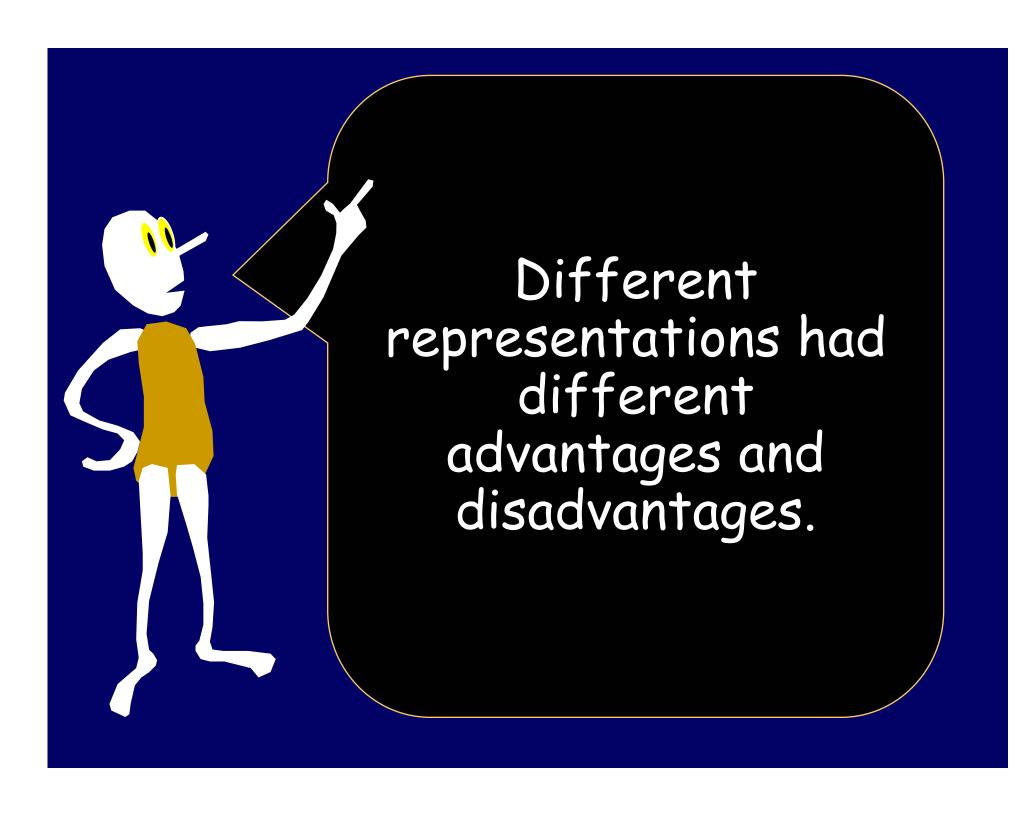
Lecture 4 Jan 22, 2004

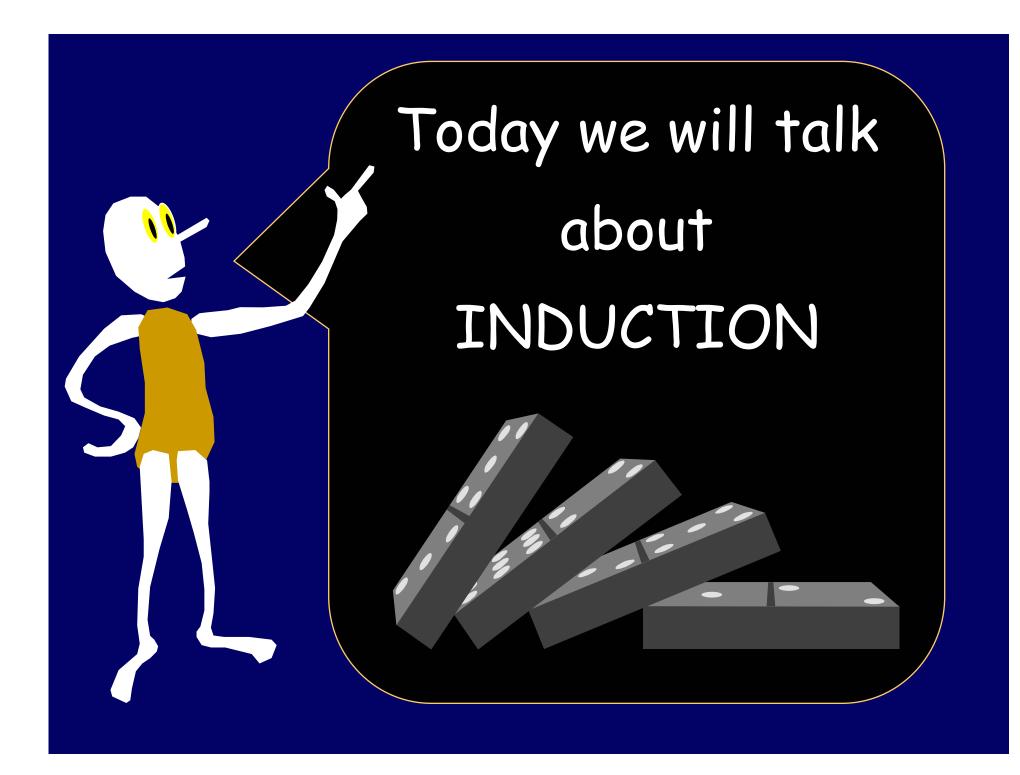
CS 15-251 Spring 2004 Carnegie Mellon University

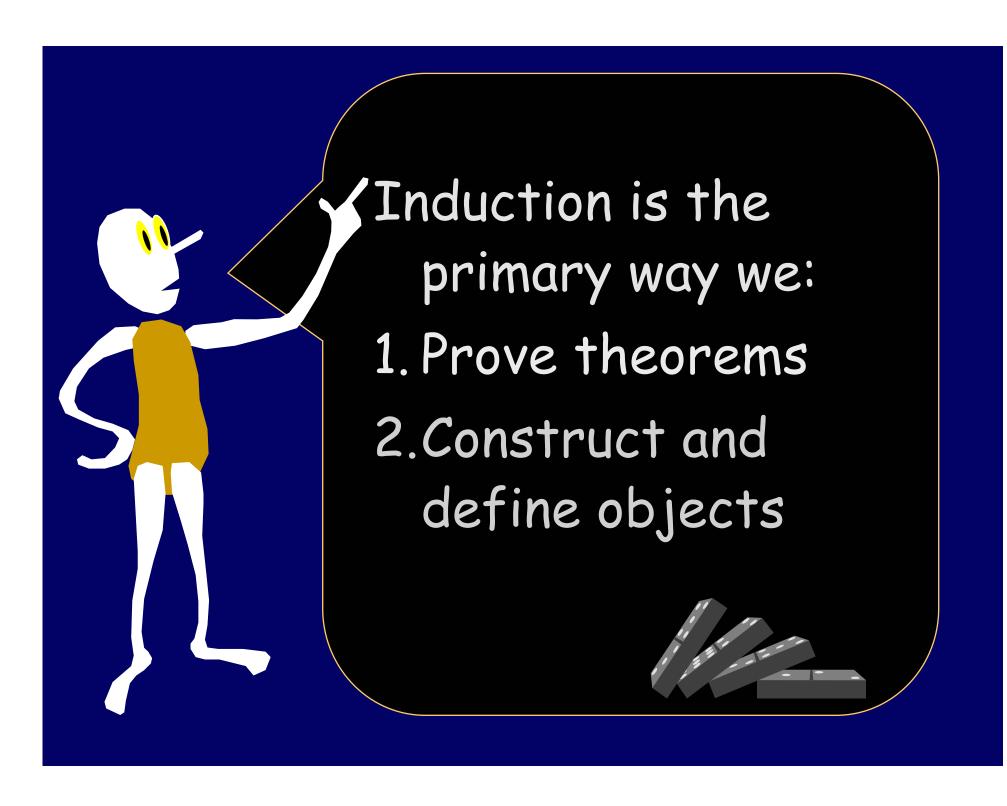
### Induction: One Step At A Time

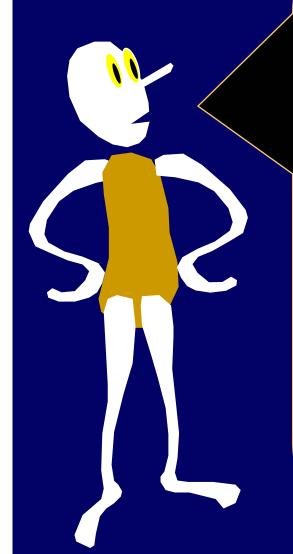












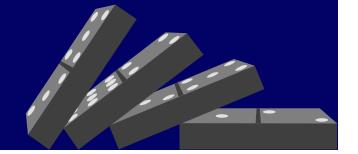
Representing a problem or object inductively is one of the most fundamental abstract representations.

#### Let's start with dominoes





Domino Principle: Line up any number of dominos in a row; knock the first one over and they will all fall.



#### n dominoes numbered 1 to n

 $F_k \equiv$  The  $k^{th}$  domino will fall

If we set them all up in a row then we know that each one is set up to knock over the next one:

For all  $1 \le k < n$ :  $F_k \Rightarrow F_{k+1}$ 

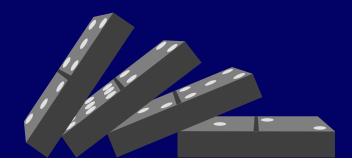


#### n dominoes numbered 1 to n

 $F_k \equiv$  The  $k^{th}$  domino will fall For all  $1 \le k < n$ :

$$F_k \Rightarrow F_{k+1}$$

$$F_1 \Rightarrow F_2 \Rightarrow F_3 \Rightarrow ...$$
  
 $F_1 \Rightarrow All Dominoes Fall$ 

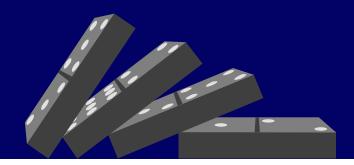


#### n dominoes numbered 0 to n-1

 $F_k \equiv$  The  $k^{th}$  domino will fall For all  $0 \le k < n-1$ :

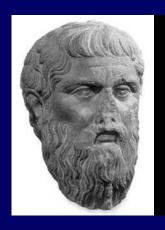
$$F_k \Rightarrow F_{k+1}$$

$$F_0 \Rightarrow F_1 \Rightarrow F_2 \Rightarrow ...$$
  
 $F_0 \Rightarrow All Dominoes Fall$ 



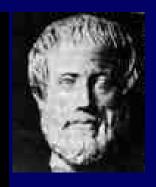
#### The Natural Numbers

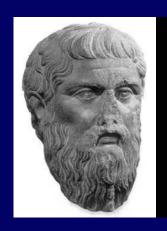
$$N = \{ 0, 1, 2, 3, \ldots \}$$



# Plato: The Domino Principle works for an infinite row of dominoes

Aristotle: Never seen an infinite number of anything, much less dominoes.

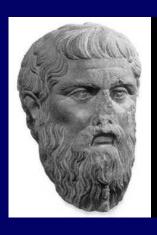




### Plato's Dominoes One for each natural number

An infinite row, 0, 1, 2, ... of dominoes, one domino for each natural number. Knock the first domino over and they all will fall.

Proof: Suppose they don't all fall. Let k>0 be the lowest numbered domino that remains standing. Domino  $k-1\geq0$  did fall, but k-1 will knock over domino k. Thus, domino k must fall and remain standing. Contradiction.



#### The Infinite Domino Principle

 $F_k \equiv$  The  $k^{th}$  domino will fall Assume we know that for every natural number k,  $F_k \Rightarrow F_{k+1}$ 

 $F_0 \Rightarrow F_1 \Rightarrow F_2 \Rightarrow ...$  $F_0 \Rightarrow All Dominoes Fall$ 



### Mathematical Induction: statements proved instead of dominoes fallen

Infinite sequence of dominoes.

 $F_k \equiv domino \ k \ fell$ 

Infinite sequence of statements:  $S_0$ ,  $S_1$ , ...

 $\mathsf{F_k} \equiv \mathsf{S_k}$  proved

Establish 1) Fo

2) For all k,  $F_k \Rightarrow F_{k+1}$ 

Conclude that  $F_k$  is true for all k



# Inductive Proof / Reasoning To Prove ∀k, S<sub>k</sub>

Establish "Base Case":  $S_0$ Establish that  $\forall k, S_k \Rightarrow S_{k+1}$ 

 $\forall k, S_k \Rightarrow S_{k+1} \prec$ 

Assume hypothetically that  $S_k$  for any particular k;

Conclude that  $S_{k+1}$ 



# Inductive Proof / Reasoning To Prove ∀k, S<sub>k</sub>

Establish "Base Case":  $S_0$ Establish that  $\forall k, S_k \Rightarrow S_{k+1}$ 

 $\forall k, S_k \Rightarrow S_{k+1}$ 

"Induction Hypothesis" Sk

Use I.H. to show  $S_{k+1}$ 

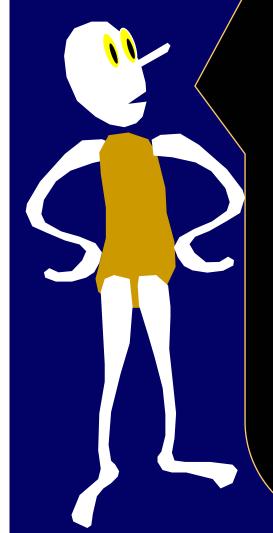


# Inductive Proof / Reasoning To Prove $\forall k \geq b$ , $S_k$

Establish "Base Case":  $S_b$ Establish that  $\forall k \geq b$ ,  $S_k \Rightarrow S_{k+1}$ 

> Assume  $k \ge b$ Assume "Inductive Hypothesis":  $S_k$ Prove that  $S_{k+1}$  follows

### We already know that



 $\forall n$ ,

$$\Delta_{n}$$
= 1 + 2 + 3 + . . . + n-1 + n  
= n(n+1)/2.

Let's prove it by induction:

Let 
$$S_n \equiv \Delta_n = n(n+1)/2''$$



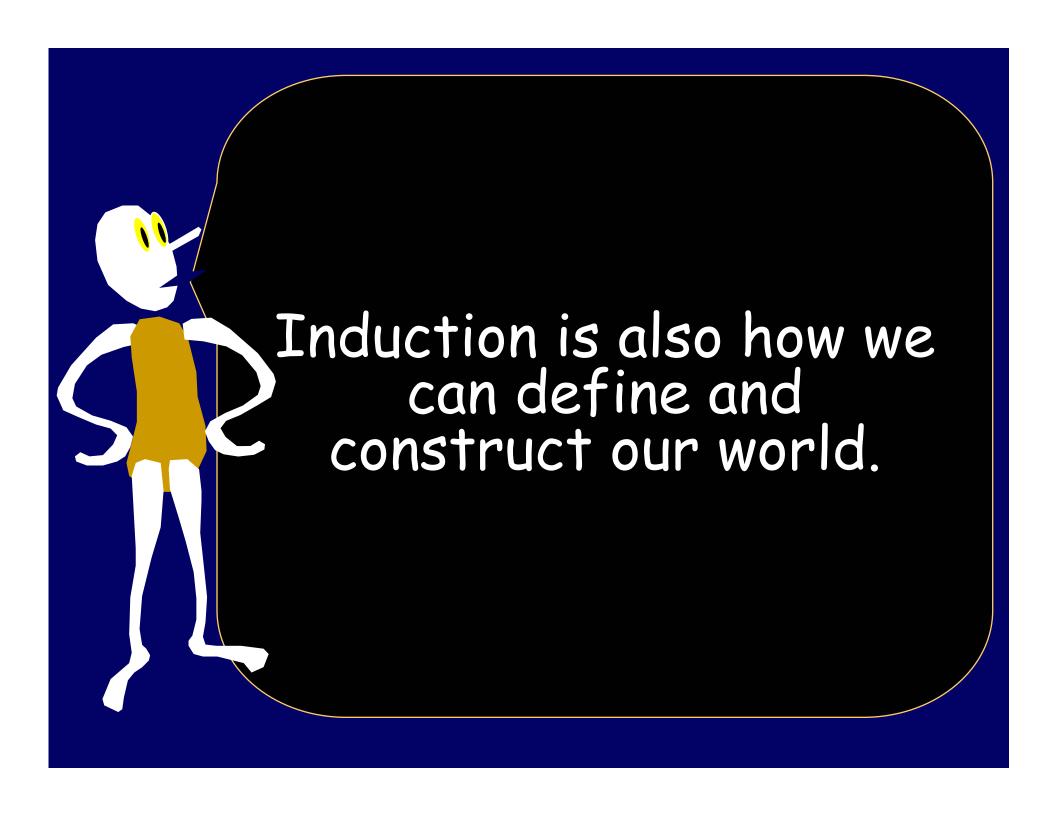
### $S_n \equiv \Delta_n = n(n+1)/2''$ Use induction to prove $\forall k \geq 0$ , $S_k$

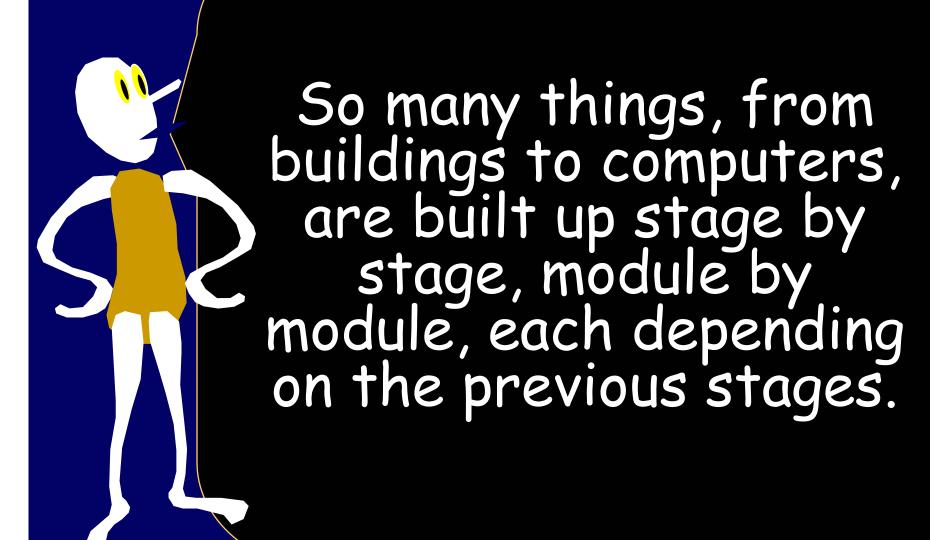
Establish "Base Case":  $S_{0.} \Delta_{0}$ =The sum of the first 0 numbers = 0. Setting n=0 the formula gives O(0+1)/2 = 0.

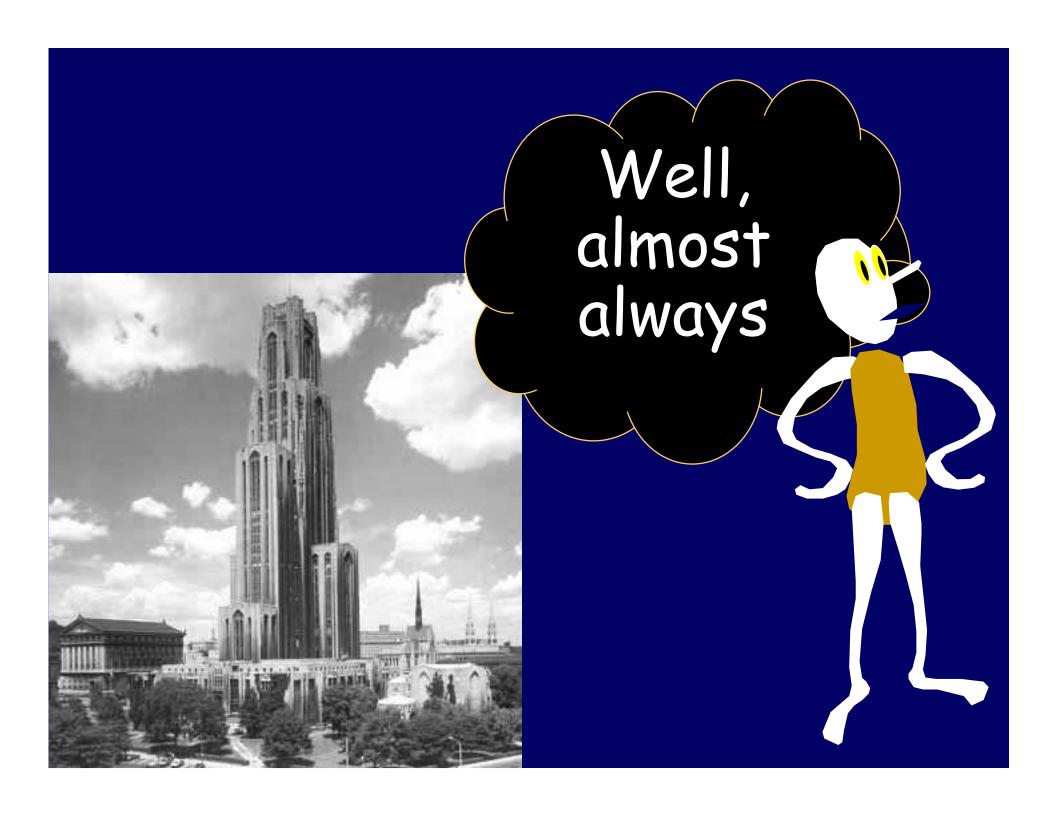
#### Establish that $\forall k \ge 0$ , $S_k \Rightarrow S_{k+1}$

"Inductive Hypothesis"  $S_k$ :  $\Delta_k = k(k+1)/2$ 

$$\Delta_{k+1} = \Delta_k + (k+1)$$
  
=  $k(k+1)/2 + (k+1)$  [Using I.H.]  
=  $(k+1)(k+2)/2$  [which proves  $S_{k+1}$ ]









#### Inductive Definition Of Functions

Stage 0, Initial Condition, or Base Case: Declare the value of the function on some subset of the domain.

#### Inductive Rules

Define new values of the function in terms of previously defined values of the function

F(x) is defined if and only if it is implied by finite iteration of the rules.



Initial Condition, or Base Case: F(0) = 1

n	0	1	2	3	4	5	6	7
F(n)	1							



Initial Condition, or Base Case: F(0) = 1

n	0	1	2	3	4	5	6	7
F(n)	1	2						



Initial Condition, or Base Case: F(0) = 1

n	0	1	2	3	4	5	6	7
F(n)	1	2	4					



Initial Condition, or Base Case: F(0) = 1

								7
F(n)	1	2	4	8	16	32	64	128



Initial Condition, or Base Case: F(0) = 1

								7
F(n)	1	2	4	8	16	32	64	128



Initial Condition, or Base Case:

$$\mathsf{F}(1)=1$$

n	0	1	2	3	4	5	6	7
F(n)		1						



Initial Condition, or Base Case:

$$\mathsf{F}(1)=1$$

n	0	1	2	3	4	5	6	7
F(n)		1	2					



Initial Condition, or Base Case:

$$\mathsf{F}(1)=1$$

n	0	1	2	3	4	5	6	7
F(n)		1	2		4			



Initial Condition, or Base Case:

$$F(1) = 1$$

n	0	1	2	3	4	5	6	7
F(n)	%	1	2	%	4	%	%	%



# Inductive Definition Recurrence Relation F(X) = X for X a whole power of 2.

Initial Condition, or Base Case: F(1) = 1

n	0	1	2	3	4	5	6	7
F(n)	%	1	2	%	4	%	%	%



#### Base Case: $\forall x \in \mathbb{N} \ P(X,0) = X$ Inductive Rule: $\forall x,y \in \mathbb{N}, y>0, P(x,y) = P(x,y-1) + 1$

P(x,y)	0	1	2	3	4	5	6	7
O								
1								
2								
3								



P(x,y)	0	1	2	3	4	5	6	7
O	0							
1	1							
2	2							
3	3							



P(x,y)	0	1	2	3	4	5	6	7
O	0	1						
1	1	2						
2	2	3						
3	3	4						



P(x,y)	0	1	2	3	4	5	6	7
O	0	1	2					
1	1	2	3					
2	2	3	4					
3	3	4	5					



P(x,y)	0	1	2	3	4	5	6	7
O	0	1	2	3	4	5	6	7
1	1	2	3	4	5	6	7	8
2	2	3	4	5	6	7	8	9
3	3	4	5	6	7	8	9	10



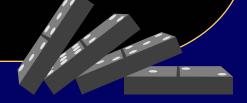
Х+У	0	1	2	3	4	5	6	7
O	0	1	2	3	4	5	6	7
1	1	2	3	4	5	6	7	8
2	2	3	4	5	6	7	8	9
3	3	4	5	6	7	8	9	10

#### Definition of P:

 $\forall x \in N P(X,0) = X$  $\forall x,y \in N, y>0, P(x,y) = P(x,y-1) + 1$ 

Peano's Definition of "+":

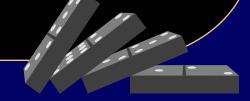
$$x + 0 = x$$
  
 $x + Sy = S(x + y)$ 





 $\forall x \in N P(X,0) = X$  $\forall x,y \in N, y>0, P(x,y) = P(x,y-1) + 1$ 

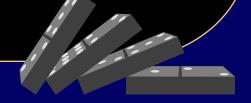
Any inductive definition can be translated into a program. The program simply calculates from the base cases on up.





 $\forall x \in N \ P(X,0) = X$   $\forall x,y \in N, y>0, P(x,y) = P(x,y-1) + 1$ 

What would be the <u>bottom up</u> implementation of P?

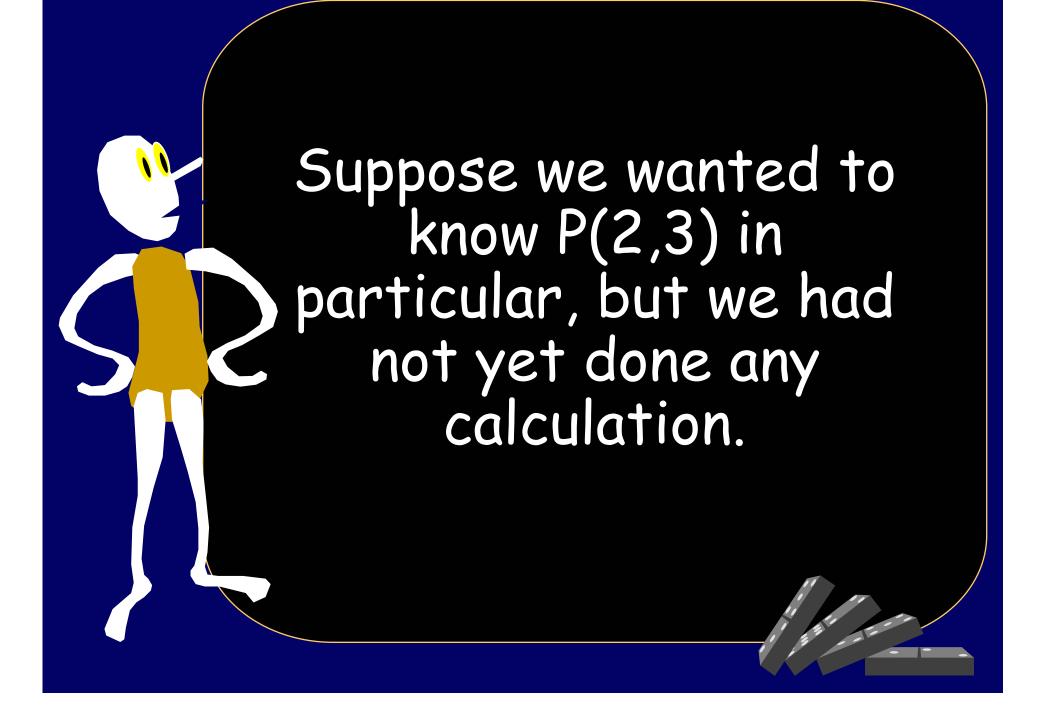




For 
$$k = 0$$
 to 3  
 $P(k,0)=k$   
For  $j = 1$  to 7  
For  $k = 0$  to 3  
 $P(k,j) = P(k,j-1) + 1$ 

# Bottom-Up Program for P

P(x,y)	0	1	2	3	4	5	6	7
0	0	1	2	3	4	5	6	7
1	1	2	3	4	5	6	7	8
2	2	3	4	5	6	7	8	9
3	3	4	5	6	7	8	9	10





P(x,y)	0	1	2	3	4	5	6	7
O								
1								
2				?				
3								



P(x,y)	0	1	2	3	4	5	6	7
O								
1								
2			?	?				
3								



P(x,y)	0	1	2	3	4	5	6	7
0								
1								
2		?	?	?				
3								



P(x,y)	0	1	2	3	4	5	6	7
O								
1								
2	?	?	?	?				
3								



P(x,y)	0	1	2	3	4	5	6	7
O								
1								
2	2	?	?	?				
3								



P(x,y)	0	1	2	3	4	5	6	7
O								
1								
2	2	3	?	?				
3								



P(x,y)	0	1	2	3	4	5	6	7
O								
1								
2	2	3	4	?				
3								



P(x,y)	0	1	2	3	4	5	6	7
O								
1								
2	2	3	4	5				
3								



# Procedure P(x,y): Top Down If y=0 return x Otherwise return P(x,y-1)+1;

P(x,y)	0	1	2	3	4	5	6	7
0								
1								
2	2	3	4	5				
3								



# Procedure P(x,y): If y=0 return xOtherwise return P(x,y-1)+1;

P(x,y)	0	1	2	3	4	5	6	7
O								
1								
2	2	3	4	5				
3								

#### Inductive Definition: $\forall x \in \mathbb{N} \ P(X,0) = X$ $\forall x,y \in \mathbb{N}, y>0, P(x,y) = P(x,y-1) + 1$

Bottom-Up, Iterative Program: For k = 0 to 3 P(k,0)=kFor j = 1 to 7 For k = 0 to 3 P(k,j) = P(k,j-1) + 1



Top-Down, Recursive Program:
Procedure P(x,y):

If y=0 return x

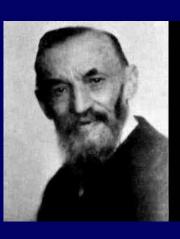
Otherwise return P(x,y-1)+1;

#### "God Made The Naturals. Everything Else Is The Work Of Man."

Kronecker

"God Made <u>Induction</u> On The Naturals. Everything Else Is The Work Of Man."

Peano



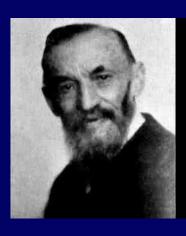
# Giuseppe Peano [1889] Axiom's For N

A1. 
$$Sx \neq 0$$

A2. 
$$[Sx = Sy] \Rightarrow [x=y]$$

A3. For any proposition P(x) where  $x \in N$ . Mathematical Induction Applies To P:  $[P(0) \text{ and } \forall x \in N, P(x) \Rightarrow P(Sx)]$ 

$$\Rightarrow \forall x P(x)$$



# Giuseppe Peano [1889] Axiom's For N

A1. 
$$Sx \neq 0$$

A2. 
$$[Sx = Sy] \Rightarrow [x=y]$$

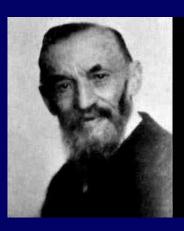
A3. For any proposition P(x) where  $x \in N$ . Mathematical Induction Applies To P:

[P(0) and 
$$\forall x \in N, P(x) \Rightarrow P(Sx)$$
]  $\Rightarrow \forall x P(x)$ 

Inductive Definition of +:

$$x + 0 = x$$
  
 $x + Sy = S(x + y)$ 

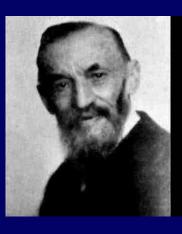
Let's prove
the
Commutativity
of addition:
x +y = y+ x



#### Lemma: 0 + x = x

Let 
$$P(x)$$
 be the proposition that "0 +  $x = x$ "

P(0) is "0 + 0 = 0"  
Assume P(x): "0 + 
$$x = x$$
"  
Show P(Sx):  
0+Sx = S(0+x) = S(x) = Sx



# Lemma: Sx + y = S(x+y)

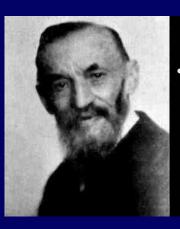
Let 
$$P(y)$$
 be the proposition that " $\forall x, Sx + y = S(x+y)$ "

P(0) is "
$$\forall x, Sx + 0 = S(x+0) = Sx$$
"

Assume P(y): " $\forall x, Sx+y = S(x+y)$ "

Show P(Sy):

 $Sx+Sy = S(Sx+y) = S(S(x+y)) = S(x+Sy)$ 



# Theorem: Commutative Property Of Addition: x + y = y + x

Let 
$$P(y)$$
 be the proposition that " $\forall x, x + y = y + x$ "

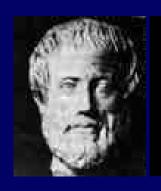
P(0) is "
$$\forall x, x + 0 = 0 + x$$
"

Assume P(y): " $\forall x, x + y = y + x$ "

Show P(Sy):

 $x+Sy = S(x+y) = S(y+x) = Sy + x$ 





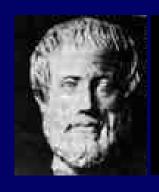
# Aristotle's Contrapositive

Let S be a sentence of the form " $A \Rightarrow B$ ".

The <u>Contrapositive</u> of S is the sentence " $\neg B \Rightarrow \neg A$ ".

 $A \Rightarrow B$ : When A is true, B is true.

 $\neg B \Rightarrow \neg A$ : When B is false, A is false.



# Aristotle's Contrapositive

#### Logically equivalent:

B

" $A \Rightarrow B$ " " $\neg B \Rightarrow \neg A$ ".

False False

True

True

False True

True

True

True False

False

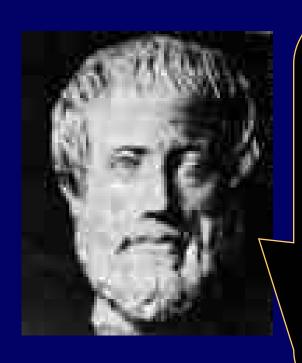
False

True True

True

True

#### Advice from the master.



To prove S, it is often easier to prove the contrapositive of S.

# Contrapositive Dominos

Suppose there is a least domino k that does not fall.

If k did not fall, then k-1 did not fall. k-1 would be a smaller, standing domino, contradicting our assumption.





# Contrapositive or Least Counter-Example Induction to Prove $\forall k, S_k$

Establish "Base Case": So

Establish that  $\forall k, S_k \Rightarrow S_{k+1}$ 

Let k>0 be the least number such that  $S_k$  is false.

Prove that  $\neg S_k \Rightarrow \neg S_{k-1}$ 

[Contradiction of k being

the least counter-example]



# "Strong" Induction To Prove $\forall k, S_k$

Establish "Base Case": So

Establish that  $\forall k, S_k \Rightarrow S_{k+1}$ Let k be any natural number. Assume  $\forall j < k, S_j$ Prove  $S_k$ 



# All Previous Induction To Prove ∀k, S<sub>k</sub>

Establish "Base Case": So

Establish that  $\forall k, S_k \Rightarrow S_{k+1}$ Let k be any natural number. Assume  $\forall j < k, S_j$ Prove  $S_k$ 



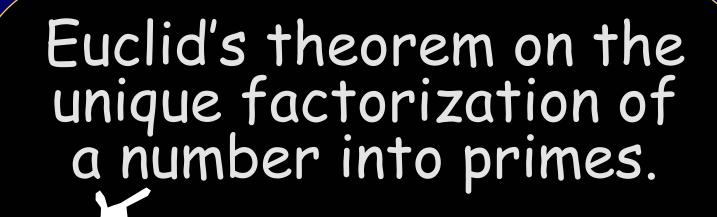
Assume there is a least counter-example. Derive the existence of a smaller counter-example. Conclude there is no counter-example.





### Rene Descartes [1596-1650] "Method Of Infinite Decent"

Show that for any counter-example you find a smaller one. If a counter-example exists there would be an infinite sequence of smaller and smaller counter examples.



Assume there is a least counter-example. Derive the existence of a smaller counter-example.

Definition: A number > 1 is prime if it has no other factors, besides 1 and itself.

Primes: 2, 3, 5, 7, 11, 13, 17, ....

#### Factorizations:

42 = 2 \* 3 \* 7 84 = 2 \* 2 \* 3 \* 7 13 = 13

Let n be the least counter-example. n has at least two ways of being written as a product of primes:

$$n = p_1 p_2 ... p_k = q_1 q_2 ... q_t$$

The p's must be totally different primes than the q's or else we could divide both sides by one of a common prime and get a smaller counter-example. Without loss of generality, assume  $p_1 > q_1$ .

Let n be the least counter-example.

$$n = p_1 p_2 ... p_k = q_1 q_2 ... q_t [p_1 > q_1]$$

$$n \ge p_1 p_1 > p_1 q_1 + 1$$
 [Since  $p_1 > q_1$ ]

•

```
Let n be the least counter-example. n=p_1\ p_2\ ...\ p_k=q_1\ q_2\ ...\ q_t\quad \left[\begin{array}{l} p_1>q_1\end{array}\right] n\geq p_1p_1>p_1\ q_1+1\qquad \left[\begin{array}{l} Since\ p_1>q_1\end{array}\right] m=n-p_1q_1\qquad \left[\begin{array}{l} Thus\ 1<\ m< n\right] Notice: m=p_1(p_2\ ...\ p_k-q_1)=q_1(q_2\ ...\ q_t-p_1) Thus, p_1|m\ and\ q_1|m By unique factorization of m, p_1q_1|m\ , thus m=p_1q_1z
```

```
Let n be the least counter-example.
n = p_1 p_2 ... p_k = q_1 q_2 ... q_t [ p_1 > q_1 ]
n \ge p_1 p_1 > p_1 q_1 + 1 [Since p_1 > q_1]
                       [Thus 1< m < n]
m = n - p_1q_1
Notice: m = p_1(p_2 ... p_k - q_1) = q_1(q_2 ... q_t - p_1)
Thus, p_1 | m and q_1 | m
By unique factorization of m, p_1q_1|m, thus m = p_1q_1z
We have: m = n - p_1q_1 = p_1(p_2 ... p_k - q_1) = p_1q_1z
Dividing by p_1 we obtain: (p_2 ... p_k - q_1) = q_1 z
p_2 ... p_k = q_1 z + q_1 = q_1(z+1) so q_1 | p_2 ... p_k
And hence, by unique factorization of p_2...p_k,
q_1 must be one of the primes p_2,...,p_k. Contradiction of q_1 < p_1.
```



"Standard" Induction
"Contrapositive" Induction
"Strong" Induction are just
different packaging.



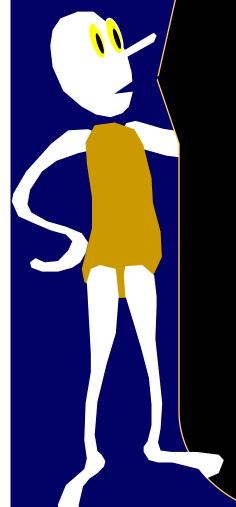
# "Strong" Induction Can Be Repackaged As Standard Induction

Establish "Base Case": So

Establish that  $\forall k, S_k \Rightarrow S_{k+1}$ Let k be any natural number. Assume  $\forall j < k, S_j$ Prove  $S_k$  Define  $T_i = \forall j \leq i, S_j$ 

Establish "Base Case": To

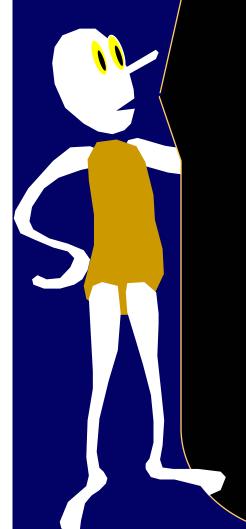
Establish that  $\forall k, T_k \Rightarrow T_{k+1}$ Let k be any natural number. Assume  $T_{k-1}$ Prove  $T_k$ 



Yet another way of packaging inductive reasoning is to define an "invariant".

### Invariant:

- 1. Not varying; constant.
- 2. <u>Mathematics.</u> Unaffected by a designated operation, as a transformation of coordinates.



Yet another way of packaging inductive reasoning is to define an "invariant".

### Invariant:

3. programming A rule, such as the ordering an ordered list or heap, that applies throughout the life of a data structure or procedure. Each change to the data structure must maintain the correctness of

the invariant.



# Invariant Induction Suppose we have a time varying world state: $W_0$ , $W_1$ , $W_2$ , ...

Each state change is assumed to come from a list of permissible operations. We seek to prove that statement S is true of all future worlds.

Argue that S is true of the initial world.

Show that if S is true of some world - then S remains true after one permissible operation is performed.



### Invariant Induction Suppose we have a time varying world state: $W_0$ , $W_1$ , $W_2$ , ... Each state change is assumed to come from a list of permissible operations.

Let S be a statement true of  $W_0$ .

Let W be any possible future world state.

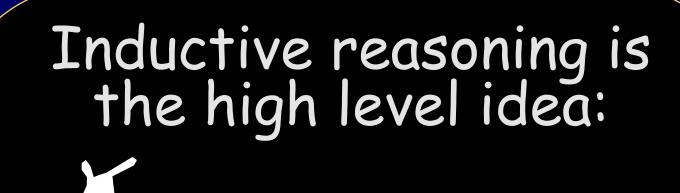
Assume S is true of W.

Show that S is true of any world W' obtained by applying a permissible operation to W.

Odd/Even Handshaking Theorem: At any party at any point in time define a person's parity as ODD/EVEN according to the number of hands they have shaken.

Statement: The number of people of odd parity must be even.

Initial case: Zero hands have been shaken at the start of a party, so zero people have odd parity. If 2 people of different parities shake, then they both swap parities and the odd parity count is unchanged. If 2 people of the same parity shake, they both change and hence the odd parity count changes by 2 – and remains even.



"Standard" Induction

"Contrapositive" Induction

"Strong" Induction

and Invariants

are just different packaging.



### Inductive Definition of T(n)

$$T(1) = 1$$
  
 $T(n) = 4 T(n/2) + n$ 

Notice that T(n) is inductively defined for positive powers of 2, and undefined on other values.

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$$T(1)=1$$
  $T(2)=6$   $T(4)=28$   $T(8)=120$ 

### Closed Form Definition of G(n)

$$G(n) = 2n^2 - n$$

Domain of G are the powers of two.

### Two equivalent functions?

$$G(n) = 2n^2 - n$$
  
Domain of G are the powers of two.

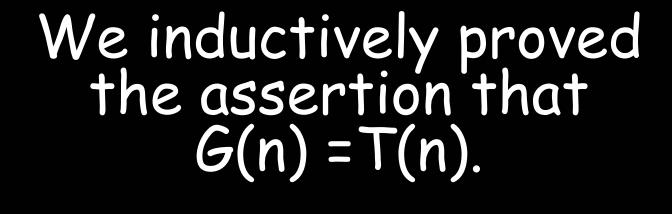
$$T(1) = 1$$
  
 $T(n) = 4 T(n/2) + n$   
Domain of T are the powers of two.

### Prove equivalence by induction on n: Assume T(x) = G(x) for x < n

$$G(n) = 2n^2 - n$$
  $T(1)=1 & T(T(n) = 4 T(n/2) + n$ 

Base:  $G(1) = 1$  and  $T(1) = 1$ 

Assuming  $T(n/2) = G(n/2) = 2(n/2)^2 - n/2$ 
 $T(n) = 4 T(n/2) + n$ 
 $= 4[G(n/2) + n]$ 
 $4[2(n/2)^2 - n/2] + n$ 
 $= 2n^2 - 2n + n$ 
 $= 2n^2 - n$ 
 $= G(n)$ 



Giving a formula for T with no sums or recurrences is called solving the recurrence T.

## Solving Recurrences Guess and Verify

Guess:  $G(n) = 2n^2 - n$ 

Verify: G(1) = 1 and G(n) = 4 G(n/2) + n

Similarly: T(1) = 1 and T(n) = 4 T(n/2) + n

So T(n) = G(n)



Inductive Proof

Standard Form

All Previous Form

Least-Counter Example Form

Invariant Form

Inductive Definition

Bottom-Up Programming

Top-Down Programming

Recurrence Relations

Solving a Recurrence

Logic

Contrapositive Form of S