

Mathematical Induction

(Based on [Manber 1989])

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The Standard Induction Principle

- Let T be a theorem that includes a parameter n whose value can be any natural number.
- Here, natural numbers are positive integers, i.e., $1, 2, 3, \dots$, excluding 0 (sometimes we may include 0).
- To prove T , it suffices to prove the following two conditions:
 - T holds for $n = 1$. (**Base case**)
 - For every $n > 1$, if T holds for $n - 1$, then T holds for n . (**Inductive step**)
- The assumption in the inductive step that T holds for $n - 1$ is called the *induction hypothesis*.

A Simple Proof by Induction

Theorem (2.1)

For all natural numbers x and n , $x^n - 1$ is divisible by $x - 1$.

Proof.

(Suggestion: try to follow the structure of this proof when you present a proof by induction.)

The proof is **by induction on n** .

Base case ($n = 1$): $x - 1$ is trivially divisible by $x - 1$.

Inductive step ($n > 1$): $x^n - 1 = x(x^{n-1} - 1) + (x - 1)$. $x^{n-1} - 1$ is divisible by $x - 1$ **from the induction hypothesis** and $x - 1$ is divisible by $x - 1$. Hence, $x^n - 1$ is divisible by $x - 1$. \square

Note: a is divisible by b if there exists an integer c such that $a = b \times c$.

Variants of Induction Principle

Theorem

If a statement P , with a parameter n , is true for $n = 1$, and if, for every $n \geq 1$, the truth of P for n implies its truth for $n + 1$, then P is true for all natural numbers.

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If a statement P , with a parameter n , is true for $n = 1$, and if, for every $n > 1$, the truth of P for all natural numbers $< n$ implies its truth for n , then P is true for all natural numbers.

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If a statement P , with a parameter n , is true for $n = 1$, and if, for every $n > 1$, the truth of P for all natural numbers $< n$ implies its truth for n , then P is true for all natural numbers.

Theorem

If a statement P , with a parameter n , is true for $n = 1$ and for $n = 2$, and if, for every $n > 2$, the truth of P for $n - 2$ implies its truth for n , then P is true for all natural numbers.

Design by Induction: First Glimpse

 The **selection sort**, for instance, can be seen as constructed using design by induction:

1. When there is only one element, we are done.
2. When there are $n (> 1)$ elements, we
 - 2.1 select the largest element,
 - 2.2 sort the remaining $n - 1$ elements, and
 - 2.3 append the largest element to the sorted $n - 1$ elements.

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- 🌍 This looks simple enough, but the selection sort isn't very efficient.
- 🌍 How can we obtain a more efficient algorithm via design by induction?
- 🌍 To see the power of design by induction, let's look at a less familiar example.

Problem

Given two *sorted* arrays $A[1..m]$ and $B[1..n]$ of positive integers, find their *smallest common element*; returns 0 if no common element is found.

- 🌐 Assume the elements of each array are in **ascending** order.
- 🌐 **Obvious solution:** take one element at a time from A and find out if it is also in B (or the other way around).

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- 🌐 **Obvious solution**: take one element at a time from A and find out if it is also in B (or the other way around).
- 🌐 How efficient is this solution?
- 🌐 Can we do better?

Design by Induction: First Glimpse (cont.)

- There are $m + n$ elements to begin with.
- Can we pick out one element such that either (1) it is the element we look for or (2) it can be ruled out from subsequent searches?
- In the second case, we are left with the same problem but with $m + n - 1$ elements?

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- 🌐 In the second case, we are left with the same problem but with $m + n - 1$ elements?
- 🌐 **Idea:** compare the current first elements of A and B .
 1. If they are equal, then we are done.
 2. If not, the smaller one cannot be the smallest common element.

Design by Induction: First Glimpse (cont.)



Below is the complete solution:

Algorithm

```
Algorithm  $SCE(A, m, B, n) : integer;$   
begin  
  if  $m = 0$  or  $n = 0$  then  $SCE := 0;$   
  if  $A[1] = B[1]$  then  
     $SCE := A[1];$   
  else if  $A[1] < B[1]$  then  
     $SCE := SCE(A[2..m], m - 1, B, n);$   
  else  $SCE := SCE(A, m, B[2..n], n - 1);$   
end
```

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- 🌐 Computations carried out by a computer/machine can, in essence, be understood as mathematical functions.

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 - ☀️ objects/things in a practical domain must be modeled as (mostly discrete) mathematical structures/sets, and
 - ☀️ various manipulations of the objects become functions on the corresponding mathematical structures.
- 🌐 Many mathematical structures are naturally defined by induction.
- 🌐 Functions on inductive structures are also naturally defined by induction (recursion).

Recursively/Inductively-Defined Sets

-  The natural numbers (including 0):
1. Base case: 0 is a natural number.
 2. Inductive step: if n is a natural number, then $n + 1$ is also a natural number.

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 1. Base case: the empty tree is a binary tree.
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 2. Inductive step: if L and R are binary trees, then a node with L and R as the left and the right children is also a binary tree.
- 🌐 Nonempty binary trees:
 1. Base case: a single root node (without any child) is a binary tree.
 2. Inductive step: if L and R are binary trees, then a node with L as the left child and/or R as the right child is also a binary tree.

Structural Induction

- 🌐 Structural induction is a generalization of mathematical induction on the natural numbers.
- 🌐 It is used to prove that some proposition $P(x)$ holds for all x of some sort of **recursively/inductively defined structure** such as binary trees.


Structural Induction

- 🌐 **Structural induction** is a generalization of mathematical induction on the natural numbers.
- 🌐 It is used to prove that some proposition $P(x)$ holds for all x of some sort of **recursively/inductively defined structure** such as binary trees.
- 🌐 Proof by structural induction:
 1. Base case: the proposition holds for all the minimal structures.
 2. Inductive step: if the proposition holds for the immediate substructures of a certain structure S , then it also holds for S .


Another Simple Example

Theorem (2.4)

If n is a natural number and $1 + x > 0$, then $(1 + x)^n \geq 1 + nx$.

 Below are the key steps:

$$\begin{aligned}(1 + x)^{n+1} &= (1 + x)(1 + x)^n \\ &\quad \{\text{induction hypothesis and } 1 + x > 0\} \\ &\geq (1 + x)(1 + nx) \\ &= 1 + (n + 1)x + nx^2 \\ &\geq 1 + (n + 1)x\end{aligned}$$

 The main point here is that we should be clear about how conditions listed in the theorem are used.

Proving vs. Computing

Theorem (2.2)

$$1 + 2 + \cdots + n = \frac{n(n+1)}{2}.$$

- 🌐 This can be easily proven by induction.
- 🌐 Key steps: $1 + 2 + \cdots + n + (n + 1) = \frac{n(n+1)}{2} + (n + 1) = \frac{n^2+n+2n+2}{2} = \frac{n^2+3n+2}{2} = \frac{(n+1)(n+2)}{2} = \frac{(n+1)((n+1)+1)}{2}.$

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- 🌐 Induction seems to be useful only if we already know the sum.
- 🌐 What if we are asked to **compute** the sum of a series?
- 🌐 Let's try $8 + 13 + 18 + 23 + \cdots + (3 + 5n).$

Proving vs. Computing (cont.)

-  **Idea:** guess and then verify by an inductive proof!
-  The sum should be of the form $an^2 + bn + c$.
-  By checking $n = 1, 2,$ and $3,$ we get $\frac{5}{2}n^2 + \frac{11}{2}n$.
-  Verify this for all n ($1, 2, 3,$ and beyond), i.e., the following theorem, by induction.

Theorem (2.3)

$$8 + 13 + 18 + 23 + \cdots + (3 + 5n) = \frac{5}{2}n^2 + \frac{11}{2}n.$$

A Summation Problem

$$\begin{aligned}1 &= 1 \\3 + 5 &= 8 \\7 + 9 + 11 &= 27 \\13 + 15 + 17 + 19 &= 64 \\21 + 23 + 25 + 27 + 29 &= 125\end{aligned}$$

Theorem

The sum of row n in the triangle is n^3 .

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Theorem


The sum of row n in the triangle is n^3 .

The base case is clearly correct. For the inductive step, examine the difference between rows $i + 1$ and $i \dots$

A Simple Inequality

Theorem (2.7)

$$\frac{1}{2} + \frac{1}{4} + \frac{1}{8} + \cdots + \frac{1}{2^n} < 1, \text{ for all } n \geq 1.$$

 There are at least two ways to select n terms from $n + 1$ terms.

1. $(\frac{1}{2} + \frac{1}{4} + \frac{1}{8} + \cdots + \frac{1}{2^n}) + \frac{1}{2^{n+1}}$.

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1. $(\frac{1}{2} + \frac{1}{4} + \frac{1}{8} + \cdots + \frac{1}{2^n}) + \frac{1}{2^{n+1}}$.
2. $\frac{1}{2} + (\frac{1}{4} + \frac{1}{8} + \cdots + \frac{1}{2^n} + \frac{1}{2^{n+1}})$.

🌐 The second one leads to a successful inductive proof:

$$\begin{aligned} & \frac{1}{2} + \left(\frac{1}{4} + \frac{1}{8} + \cdots + \frac{1}{2^n} + \frac{1}{2^{n+1}} \right) \\ &= \frac{1}{2} + \frac{1}{2} \left(\frac{1}{2} + \frac{1}{4} + \cdots + \frac{1}{2^{n-1}} + \frac{1}{2^n} \right) \\ &< \frac{1}{2} + \frac{1}{2} \\ &= 1 \end{aligned}$$

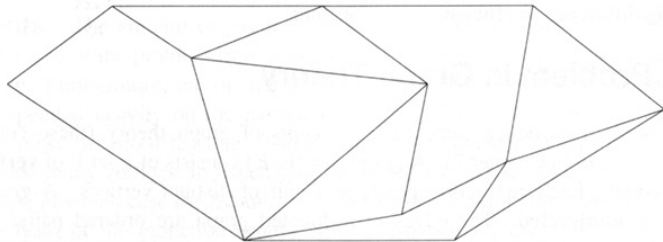


Figure 2.2 A planar map with 11 vertices, 19 edges, and 10 faces.

Source: [Manber 1989].

Euler's Formula (cont.)

Theorem (2.8)

The number of vertices (V), edges (E), and faces (F) in an arbitrary connected planar graph are related by the formula $V + F = E + 2$.

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The number of vertices (V), edges (E), and faces (F) in an arbitrary connected planar graph are related by the formula $V + F = E + 2$.

The proof is by induction on the number of faces.

Base case ($F = 1$): connected planar graphs with only one face are **trees**. So, we need to prove the equality $V + 1 = E + 2$ or $V - 1 = E$ for trees, namely the following lemma:

Lemma

A tree with V vertices has $V - 1$ edges.

Inductive step ($F > 1$): for a graph with more than one faces, there must be a **cycle** in the graph. Remove one edge from the cycle ...

Gray Codes

🌐 A **Gray code** (after Frank Gray) for n objects is a binary-encoding scheme for naming the n objects such that the n names can be arranged in a *circular* list where *any two adjacent names, or code words, differ by only one bit*.

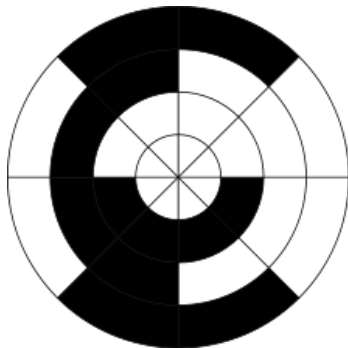
🌐 Examples:

☀ 00, 01, 11, 10

☀ 000, 001, 011, 010, 110, 111, 101, 100

☀ 000, 001, 011, 111, 101, 100

A Gray Code in Picture



A rotary encoder using a 3-bit Gray code.

Source: Wikipedia.

Gray Codes (cont.)

Theorem (2.10)

There exist Gray codes of length $\frac{k}{2}$ for any positive even integer k .

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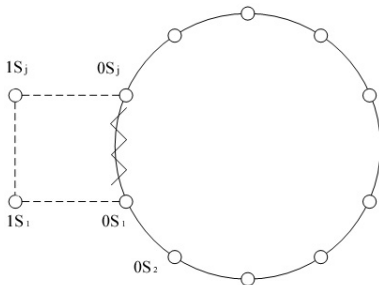


Figure 2.3 Constructing a Gray code of size $2k$

Source: [Manber 1989] (adapted).

Note: j in the figure equals $2(k - 1)$ and hence $j + 2$ equals $2k$.

Gray Codes (cont.)

Theorem (2.10+)

There exist Gray codes of length $\log_2 k$ for any positive integer k that is a power of 2.

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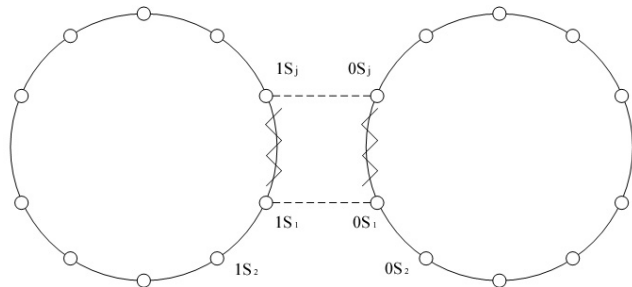


Figure 2.4 Constructing a Gray code from two smaller ones

Source: [Manber 1989] (adapted).

Gray Codes (cont.)

- 00, 01, 11, 10 (for 2^2 objects)
- 000, 001, 011, 010 (add a 0)
- 100, 101, 111, 110 (add a 1)
- Combine the preceding two codes (read the second in reversed order):
000, 001, 011, 010, 110, 111, 101, 100 (for 2^3 objects)

Theorem (2.11–)

There exist Gray codes of length $\lceil \log_2 k \rceil$ for any positive even integer k .

Gray Codes (cont.)

Theorem (2.11–)

There exist Gray codes of length $\lceil \log_2 k \rceil$ for any positive even integer k .

To generalize the result and ease the proof, we allow a Gray code to be *open* where the last name and the first name may differ by more than one bit.

Gray Codes (cont.)

Theorem (2.11)

*There exist Gray codes of length $\lceil \log_2 k \rceil$ for any positive integer $k \geq 2$. The Gray codes for the **even** values of k are **closed**, and the Gray codes for **odd** values of k are **open**.*

Gray Codes (cont.)

Theorem (2.11)

*There exist Gray codes of length $\lceil \log_2 k \rceil$ for any positive integer $k \geq 2$. The Gray codes for the **even** values of k are **closed**, and the Gray codes for **odd** values of k are **open**.*

We in effect make the theorem stronger. A stronger theorem may be easier to prove, as we have a stronger induction hypothesis.

Gray Codes (cont.)

- 🌐 00, 01, 11 (open Gray code for 3 objects)
- 🌐 000, 001, 011 (add a 0)
- 🌐 100, 101, 111 (add a 1)
- 🌐 Combine the preceding two codes (read the second in reversed order):
000, 001, 011, 111, 101, 100 (closed Gray code for 6 objects)

Gray Codes (cont.)

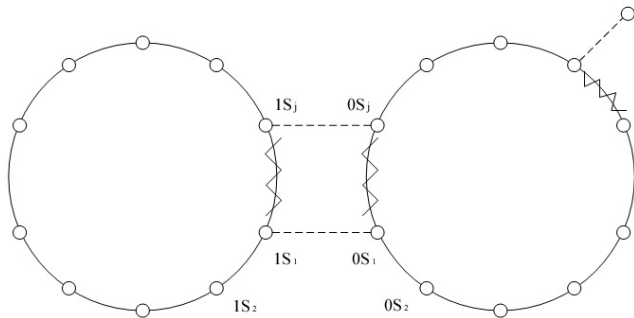


Figure 2.5 Constructing an open Gray code

Source: [Manber 1989] (adapted).

Arithmetic vs. Geometric Mean

Theorem (2.13)

If x_1, x_2, \dots, x_n are all positive numbers, then

$$(x_1 x_2 \cdots x_n)^{\frac{1}{n}} \leq \frac{x_1 + x_2 + \cdots + x_n}{n}.$$

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First use the standard induction to prove the case of powers of 2 and then use the reversed induction principle below to prove for all natural numbers.

Theorem (Reversed Induction Principle)

If a statement P , with a parameter n , is true for an *infinite subset* of the natural numbers, and if, for every $n > 1$, the truth of P for n implies its truth for $n - 1$, then P is true for all natural numbers.

Arithmetic vs. Geometric Mean (cont.)

- 🌐 For all powers of 2, i.e., $n = 2^k$, $k \geq 1$: by induction on k .
- 🌐 Base case: $(x_1 x_2)^{\frac{1}{2}} \leq \frac{x_1 + x_2}{2}$, squaring both sides

Arithmetic vs. Geometric Mean (cont.)

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- Base case: $(x_1 x_2)^{\frac{1}{2}} \leq \frac{x_1 + x_2}{2}$, squaring both sides
- Inductive step:

$$(x_1 x_2 \cdots x_{2^{k+1}})^{\frac{1}{2^{k+1}}}$$

Arithmetic vs. Geometric Mean (cont.)

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- Base case: $(x_1 x_2)^{\frac{1}{2}} \leq \frac{x_1 + x_2}{2}$, squaring both sides
- Inductive step:

$$\begin{aligned} & (x_1 x_2 \cdots x_{2^{k+1}})^{\frac{1}{2^{k+1}}} \\ = & \left[(x_1 x_2 \cdots x_{2^k})^{\frac{1}{2^k}} \right]^{\frac{1}{2}} \end{aligned}$$

Arithmetic vs. Geometric Mean (cont.)

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 \leq & \frac{(x_1 x_2 \cdots x_{2^k})^{\frac{1}{2^k}} + (x_{2^k+1} x_{2^k+2} \cdots x_{2^{k+1}})^{\frac{1}{2^k}}}{2}, \text{ from the base case}
 \end{aligned}$$

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- Base case: $(x_1 x_2)^{\frac{1}{2}} \leq \frac{x_1 + x_2}{2}$, squaring both sides
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Arithmetic vs. Geometric Mean (cont.)

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 = & \frac{x_1 + x_2 + \cdots + x_{2^{k+1}}}{2^{k+1}}
 \end{aligned}$$

Arithmetic vs. Geometric Mean (cont.)

- 🌐 For all natural numbers: by reversed induction on n .
- 🌐 Base case: the theorem holds for all powers of 2.

Arithmetic vs. Geometric Mean (cont.)

- For all natural numbers: by reversed induction on n .
- Base case: the theorem holds for all powers of 2.
- Inductive step: observe that

$$\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1} = \frac{x_1 + x_2 + \cdots + x_{n-1} + \frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}}{n}.$$

Arithmetic vs. Geometric Mean (cont.)

$$\left(x_1 x_2 \cdots x_{n-1} \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}\right)\right)^{\frac{1}{n}} \leq \frac{x_1 + x_2 + \cdots + x_{n-1} + \frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}}{n}$$

(from the Ind. Hypo.)

Arithmetic vs. Geometric Mean (cont.)

$$\left(x_1 x_2 \cdots x_{n-1} \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}\right)\right)^{\frac{1}{n}} \leq \frac{x_1 + x_2 + \cdots + x_{n-1} + \frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}}{n}$$

(from the Ind. Hypo.)

$$\left(x_1 x_2 \cdots x_{n-1} \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}\right)\right)^{\frac{1}{n}} \leq \frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}$$

Arithmetic vs. Geometric Mean (cont.)

$$\left(x_1 x_2 \cdots x_{n-1} \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}\right)\right)^{\frac{1}{n}} \leq \frac{x_1 + x_2 + \cdots + x_{n-1} + \frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}}{n}$$

(from the Ind. Hypo.)

$$\left(x_1 x_2 \cdots x_{n-1} \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}\right)\right)^{\frac{1}{n}} \leq \frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}$$
$$\left(x_1 x_2 \cdots x_{n-1} \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}\right)\right) \leq \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}\right)^n$$

Arithmetic vs. Geometric Mean (cont.)

$$(x_1 x_2 \cdots x_{n-1} \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1} \right))^{\frac{1}{n}} \leq \frac{x_1 + x_2 + \cdots + x_{n-1} + \frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}}{n}$$

(from the Ind. Hypo.)

$$(x_1 x_2 \cdots x_{n-1} \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1} \right))^{\frac{1}{n}} \leq \frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}$$

$$(x_1 x_2 \cdots x_{n-1} \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1} \right)) \leq \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1} \right)^n$$

$$(x_1 x_2 \cdots x_{n-1}) \leq \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1} \right)^{n-1}$$

Arithmetic vs. Geometric Mean (cont.)

$$(x_1 x_2 \cdots x_{n-1} \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1} \right))^{\frac{1}{n}} \leq \frac{x_1 + x_2 + \cdots + x_{n-1} + \frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}}{n}$$

(from the Ind. Hypo.)

$$(x_1 x_2 \cdots x_{n-1} \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1} \right))^{\frac{1}{n}} \leq \frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}$$

$$(x_1 x_2 \cdots x_{n-1} \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1} \right)) \leq \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1} \right)^n$$

$$(x_1 x_2 \cdots x_{n-1}) \leq \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1} \right)^{n-1}$$

$$(x_1 x_2 \cdots x_{n-1})^{\frac{1}{n-1}} \leq \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1} \right)$$

Loop Invariants

- 🌐 An *invariant* at some point of a program is an assertion that holds whenever execution of the program reaches that point.
- 🌐 Invariants are a bridge between the **static text** of a program and its **dynamic computation**.

Loop Invariants

- 🌐 An *invariant* at some point of a program is an assertion that holds whenever execution of the program reaches that point.
- 🌐 Invariants are a bridge between the **static text** of a program and its **dynamic computation**.
- 🌐 An invariant at the front of a while loop is called a *loop invariant* of the while loop.
- 🌐 A loop invariant is formally established by induction.
 - ☀ **Base case**: the assertion holds right before the loop starts.
 - ☀ **Inductive step**: assuming the assertion holds before the i -th iteration ($i \geq 1$), it holds again after the iteration.

A Variant of Euclid's Algorithm

Algorithm

```
Algorithm myEuclid ( $m, n$ );  
begin  
  // assume that  $m > 0$  and  $n > 0$   
   $x := m$ ;  
   $y := n$ ;  
  while  $x \neq y$  do  
    if  $x < y$  then  $\text{swap}(x,y)$ ;  
     $x := x - y$ ;  
  od  
  ...  
end
```

where $\text{swap}(x,y)$ exchanges the values of x and y .

A Variant of Euclid's Algorithm (cont.)

Theorem (Correctness of myEuclid)

When Algorithm myEuclid terminates, x or y stores the value of $\gcd(m, n)$ (assuming that $m, n > 0$ initially).

Lemma

Let $Inv(m, n, x, y)$ denote the assertion:

$$x > 0 \wedge y > 0 \wedge \gcd(x, y) = \gcd(m, n).$$

Then, $Inv(m, n, x, y)$ is a loop invariant of the while loop, assuming that $m, n > 0$ initially.

See separate handout for a detailed proof.