

Algorithm Design and Analysis

Divide and Conquer (I)

- 1 Introduction of Divide-and-Conquer
- 2 Quick Sort
- 3 Chip Test
- 4 Selection Problem
 - Selecting Max and Min
 - Selecting the Second Largest
 - General Selection Problem
- 5 Closest Pair of Points
- 6 Convex Hull

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Divide-and-Conquer Paradigm

Divide-and-Conquer strategy solves a problem by:

- ① Divide: break original problem into several *subproblems* with smaller size that can be solved independently
- ② Conquer: recursively or iteratively solving these subproblems
 - when the subproblems are so small, they are solved outright
- ③ Combine: compose solutions to subproblems into overall solution
 - coordinated by the algorithm's core recursive structure

Why Divide-and-Conquer

Not always, but usually performs better than brute-force algorithm

Most common usage (Example)

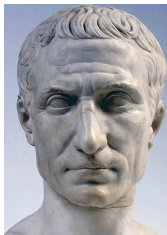
- Divide problem of size n into **two** subproblems of size $n/2$ in **linear time**
- Solve two subproblems recursively
- Combine two solutions into overall solution in **linear time**

Brute force: $\Theta(n^2)$ vs. Divide-and-conquer: $\Theta(n \log n)$



particularly applicable in parallel computing environment

Divide and rule (Latin: divide et impera), or divide and conquer, in politics and sociology is gaining and maintaining power by breaking up larger concentrations of power into pieces that individually have less power than the one implementing the strategy.



The maxim divide et impera has been attributed to Philip II of Macedon. It was utilised by the Roman ruler Julius Caesar and the French emperor Napoleon.

故用兵之法，十则围之，五则攻之，倍则战之，敌则能分之，...

—《孙子兵法》

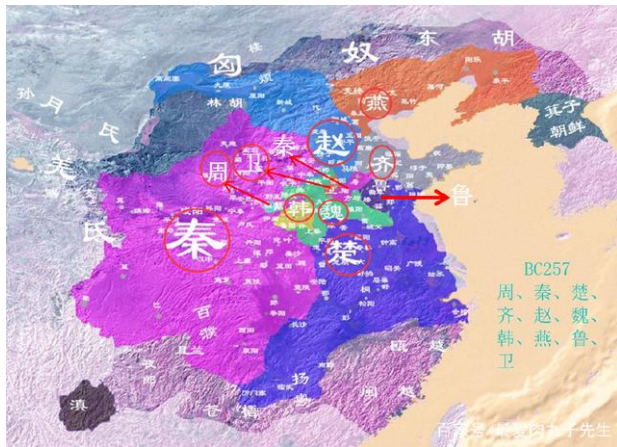


Figure: 秦王扫六合时，虎视何雄哉

General Divide-and-Conquer Algorithm

Algorithm 1: Divide-and-Conquer(P)

```
1: if  $|P| \leq s^*$  then Solve( $P$ );           // direct solve
2: else divide  $P$  into  $P_1, P_2, \dots, P_k$ ;    // divide
3: for  $i \leftarrow 1$  to  $k$  do
4:    $y_i \leftarrow$  Divide-and-Conquer( $P_i$ )    // solve subproblems
5: end
6: return Merge( $y_1, y_2, \dots, y_k$ )        // combine answers
```

Complexity of Divide-and-Conquer

Recurrence relation:

$$\begin{cases} T(n) = T(|P_1|) + T(|P_2|) + \cdots + T(|P_k|) + f(n) \\ T(s^*) = C \end{cases}$$

- P_1, P_2, \dots, P_k are subproblems after dividing
- $f(n)$ is the complexity of dividing subproblems and combining answers of subproblems to answer to the original problem
- C is the complexity of the smallest subproblem of size s^*

Next, we introduce two canonical types of recurrence relations.

Case 1: Subproblems Reduce Size by a Constant

$$T(n) = \sum_{i=1}^k a_i T(n - i) + f(n)$$

Solving method

- 1 Iteration (direct iteration or simplify-then-iteration)
- 2 Recursive tree

Example. Hanoi tower: $T(n) = 2T(n - 1) + 1$

Case 2: Subproblems Reduce Size Linearly

$$T(n) = aT\left(\frac{n}{b}\right) + f(n), h(n) = n^{\log_b a}$$

Solving method: recursive tree, master theorem

$$T(n) = \begin{cases} \Theta(h(n)) & \text{if } f(n) = o(h(n)) \\ \Theta(h(n) \log n) & \text{if } f(n) = \Theta(h(n)) \\ \Theta(f(n)) & \text{if } f(n) = \omega(h(n)) \\ \wedge \exists r < 1 \text{ s.t. } af(n/b) < rf(n) \end{cases}$$

Example 1. Binary search: $W(n) = W(n/2) + 1$

Example 2. Merge sort: $W(n) = 2W(n/2) + (n - 1)$

In this section, we illustrate the main idea of **divide-and-conquer** by several introductory examples.

Hanoi Tower

Algorithm 2: $\text{Hanoi}(A, C, n)$ // n disk from A to C

Input: $A(n), B(0), C(0)$

Output: $A(0), B(0), C(n)$

```
1: if  $n = 1$  then move  $(A, C)$ ; //one disk from  $A$  to  $C$ 
2: else
3:    $\text{Hanoi}(A, B, n - 1)$ ;
4:   move  $(A, C)$ ;
5:    $\text{Hanoi}(B, C, n - 1)$ 
6: end
```

Idea to Hanoi Tower

- 1 Reduce the original problem to two subproblem of size $n - 1$
- 2 Continue to reduce until the size of subproblem is 1
- 3 From input size 1 to $n - 1$, combine the answers until the size go back to n .

Let $T(n)$ be the complexity of moving n disks: the minimum number of moves required

$$\left. \begin{array}{l} T(n) = 2T(n - 1) + 1 \\ T(1) = 1 \end{array} \right\} \Rightarrow T(n) = 2^n - 1$$

There is no worst-case, best-case, average-case distinctions for this problem, since the input only depend on the input size.

Binary Search

Algorithm 3: BinarySearch(A, l, r, x)

Input: sorted $A[l, r]$ in ascending order, target x

Output: j // if $x \in T$, j is the index, else $j = 0$

```
1: if  $l = r$  then //the smallest subproblem
2:   if  $x = A[l]$  then return  $l$ ;
3:   else return 0;
4: end
5:  $m \leftarrow \lfloor (l + r)/2 \rfloor$  //  $m$  is the middle position;
6: if  $x \leq A[m]$  then //compare to median
7:   BinarySearch( $A, l, m, x$ )
8: end
9: else
10:  BinarySearch( $A, m + 1, r, x$ )
11: end
```

Idea of Binary Search

- 1 Reduce the original problem to a subproblem with half size by comparing x with the median:
 - if $x \leq A[m]$, then $A[l, r] := A[l, m]$, else $A[l, r] := A[m + 1, r]$
- 2 Repeatedly search T until its size becomes 1, i.e. $l = r$
 - At this point, directly compare x and $A[l]$, return l if equal and “0” otherwise.

Worst-case complexity of binary search

$h(n) = 1, f(n) = \Theta(h(n)) \Rightarrow$ master theorem (case 2)

$$\left. \begin{array}{l} W(n) = W(\lceil n/2 \rceil) + 1 \\ W(1) = 1 \end{array} \right\} \Rightarrow W(n) = \Theta(\log n)$$

Example of MergeSort

Algorithm 4: MergeSort(A, n)

Input: unsorted $A[n]$

Output: sorted $A[n]$ in ascending order

```
1:  $l \leftarrow 1, r \leftarrow n$ ;  
2: if  $l < r$  then  
3:    $m \leftarrow \lfloor (l + r)/2 \rfloor$            //partition by half;  
4:   MergeSort( $A, l, m$ )                 // subproblem 1;  
5:   MergeSort( $A, m + 1, r$ )             // subproblem 2;  
6:   Merge( $A[l, m], A[m + 1, r]$ )       // merge sorted sub-array  
7: end
```

How to implement Merge recursively?

Recursive Merge Algorithm

Algorithm 5: Merge($A[1, k], B[1, l]$)

```
1: if  $k = 0$  then return  $B[1, l]$ ;  
2: if  $l = 0$  then return  $A[1, k]$ ;  
3: if  $A[1] \leq B[1]$  then return  $A[1] \circ \text{Merge}(A[2, k], B[1, l])$ ;  
4: else return  $B[1] \circ \text{Merge}(A[1, k], B[2, l])$ ;
```

- The Merge procedure does a constant amount of work per recursive call, for a total running time of $O(k + l)$.

Idea of MergeSort

- 1 Partition the original problem to 2 subproblem of size $n/2$
- 2 Continue the partition step until the size of subproblem is 1
- 3 From input size 1 to $n/2$, merge two neighbored sorted sub-array.
 - The size of sub-array doubles after each merge, until reach the original size.

Assume $n = 2^k$, the worse-case complexity of MergeSort is:

$h(n) = n, f(n) = \Theta(h(n)) \Rightarrow$ master theorem (case 2)

$$\left. \begin{array}{l} W(n) = 2W(n/2) + n - 1 \\ W(1) = 0 \end{array} \right\} \Rightarrow W(n) = \Theta(n \log n)$$

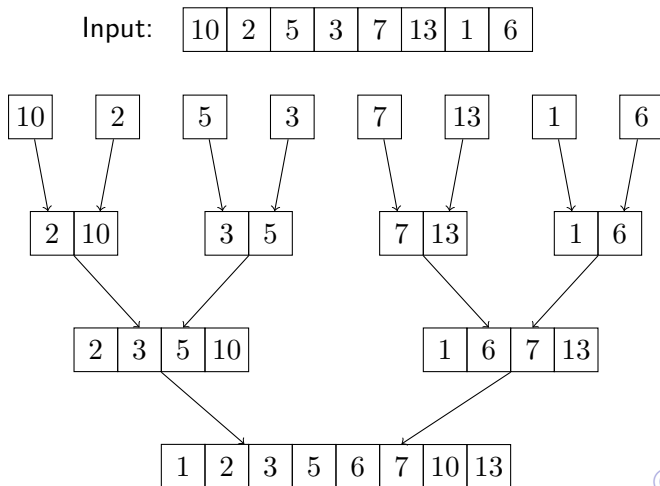
Recap of MergeSort

All the real work is done in merging, which doesn't start until the recursion gets down to the singleton arrays.

Recap of MergeSort

All the real work is done in merging, which doesn't start until the recursion gets down to the singleton arrays.

This viewpoint suggests how MergeSort might be made iterative.



Recap

We exemplify the features of divide-and-conquer algorithm:

- Divide the original problem to independent subproblems with smaller size
 - the subproblem and the original problem are of the same type
 - when the subproblems are sufficiently small, they can be solved outright
- The algorithm can be solved recursively or iteratively
- Complexity analysis: solving recurrence relation

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Basic Idea

- ① Choose the first element x as pivot, partition A into two sub-array:
 - low sub-array A_L : elements less than x
 - high sub-array A_R : elements greater than x
 - x is at the right position
- ② recursively sort A_L and A_R , until the size of sub-array is 1

Pseudocode of Quick Sort

Algorithm 6: QuickSort(A, l, r)

Input: $A[l \dots r]$

Output: sorted A in ascending order

- 1: **if** $l = r$ **then return;** //reach the smallest case
 - 2: **if** $l < r$ **then**
 - 3: $k \leftarrow \text{Partition}(A, l, r);$
 - 4: $A[l] \leftrightarrow A[k];$
 - 5: QuickSort($A, l, k - 1$);
 - 6: QuickSort($A, k + 1, r$);
 - 7: **end**
-

Pseudocode of Partition

Algorithm 7: Partition(A, l, r)

```
1:  $x \leftarrow A[l]$            //set the first element as pivot;  
2:  $i \leftarrow l, j \leftarrow r + 1$  //initialize left/right pointer;  
3: while true do  
4:   repeat  $j \leftarrow j - 1$  until  $A[j] \leq x$ ;           //less than  $x$   
5:   repeat  $i \leftarrow i + 1$  until  $A[i] > x$ ;           //greater than  $x$   
6:   if  $i < j$  then  $A[i] \leftrightarrow A[j]$ ;  
7:   else return  $j$ ;           //cross happen, find the position  
8: end
```

Demo of Partition

27	99	0	8	13	64	86	16	7	10	88	25	90
	i										j	

27	25	0	8	13	64	86	16	7	10	88	99	90
					i				j			

27	25	0	8	13	10	86	16	7	64	88	99	90
						i		j				

27	25	0	8	13	10	7	16	86	64	88	99	90
							i	j				

16	25	0	8	13	10	7	27	86	64	88	99	90
----	----	---	---	----	----	---	----	----	----	----	----	----

Complexity Analysis

Worst-case:

$$\left. \begin{array}{l} W(n) = W(n-1) + n - 1 \\ W(1) = 0 \end{array} \right\} \Rightarrow W(n) = n(n-1)/2$$

Best-case:

$$\left. \begin{array}{l} T(n) = 2T(n/2) + n - 1 \\ T(1) = 0 \end{array} \right\} \Rightarrow T(n) = \Theta(n \log n)$$

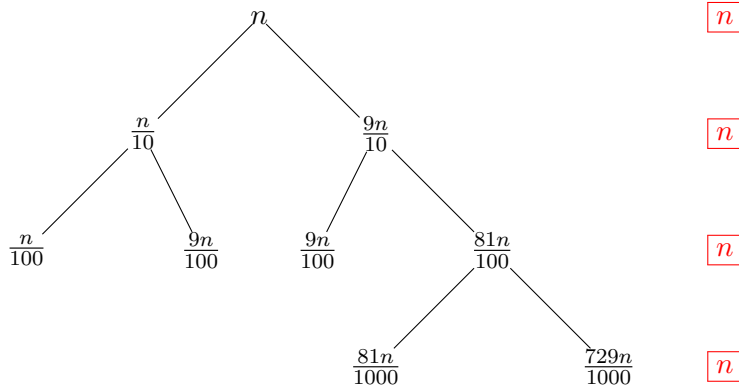
Complexity of Constant Partition

Constant Partition. The ratio of subproblems vs. original problem is a fixed constant, such as 1 : 9.

$$\begin{cases} T(n) = T(n/10) + T(9n/10) + n \\ T(1) = 0 \end{cases}$$

Solving via recursion tree $\Rightarrow T(n) = \Theta(n \log n)$

Recursion Tree



...

$$T(n) = \Theta(n \log n)$$

$O(n)$

Average-Case Complexity

Suppose the first element finally appear at position $1, 2, \dots, n$ with equal probability, i.e., $1/n$. We analyze the size of resulting subproblems

- appear at position 1: $T(0), T(n-1)$
- appear at position 2: $T(1), T(n-2)$
- ...
- appear at position $n-1$: $T(n-2), T(1)$
- appear at position n : $T(n-1), T(0)$

The cost of all subproblems: $2(T(1) + T(2) + \dots + T(n-1))$

The cost of partition: $n-1$ compares

Average-Case Complexity

$$T(n) = \frac{1}{n} \sum_{k=1}^{n-1} (T(k) + T(n-k)) + n - 1$$

$$T(n) = \frac{2}{n} \sum_{k=1}^{n-1} T(k) + n - 1$$
$$T(1) = 0$$

We simplify the recurrence relation via subtraction \Rightarrow

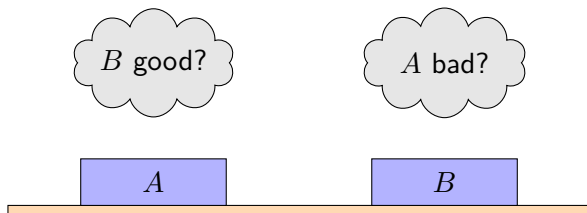
$$T(n) = \Theta(n \log n)$$

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Basic Test Method

Basic test method. Put two chips A and B on the testbed, begin the mutual test

- the test report is “good” or “bad”, only choose one of it



Assumption. The report from good chip is always correct, but the report from bad chip is non-deterministic (probably wrong)

Analysis of Test Report

A 's report	B 's report	Conclusion
B is good	A is good	A, B are both good or bad
B is good	A is bad	at least one is bad
B is bad	A is good	at least one is bad
B is bad	A is bad	at least one is bad

Problem of Chip Test

Input. n chips, $\#(\text{good}) - \#(\text{bad}) \geq 1$

Question. Devise a test method to choose one good chip from n chips

Requirement. The number of mutual tests is minimum

Start point. Given a chip A , how to check if A is good or bad

Method. Using other $n - 1$ chip to test A .

- Idea: utilize the oddity of n

Case 1: n is Odd

Example. $n = 7$, $\#(\text{good chips}) \geq 4$.

- A is good \Leftrightarrow at least 3 among 6 reports “good”
- A is bad \Leftrightarrow at least 4 among 6 reports “bad”

Generalize to n is odd, $\#(\text{good chips}) \geq (n + 1)/2$.

- A is good: \Leftrightarrow at least $(n - 1)/2$ reports “good”
 - A is bad: \Leftrightarrow at least $(n + 1)/2$ reports “bad”
-

Key observation. The test results are not **compatible**. Thus, it constitutes a necessary and sufficient condition.

Criteria: in $n - 1$ reports

- at least one half reports “good” $\Rightarrow A$ is good
- more than one half reports “bad” $\Rightarrow A$ is bad

Case 2: n is Even

Example. $n = 8$, $\#(\text{good chips}) \geq 5$.

- A is good \Leftrightarrow at least 4 from 7 report “good”
- A is bad \Leftrightarrow at least 5 from 7 report “bad”

Generalize to n is even, $\#(\text{good chips}) \geq n/2 + 1$.

- A is good \Leftrightarrow at least $n/2$ report “good”
 - A is bad \Leftrightarrow at least $n/2 + 1$ report “bad”
-

Key observation. The test results are not **compatible**. Thus, it constitutes a necessary and sufficient condition.

Criteria: in $n - 1$ reports

- at least one half reports “good” $\Rightarrow A$ is good
- more than one half reports “bad” $\Rightarrow A$ is bad

Brute Force Algorithm

Test method. Randomly pick a chip, apply the aforementioned test. If it is good, then the test is over. Else, discard it and randomly pick another chip from the rest, until get a good chip.

- correctness: $\#(\text{good chips})$ is always more than half.
-

Time complexity

- 1-st round: random one is bad, at most $n - 1$ time tests
- 2-rd round: random one is bad, at most $n - 2$ time tests
- ...
- i -th round: random one is bad, at most $n - i$ time tests

Nice discovery by [2020 江锴杰]: in $i > 1$ round, we can randomly discard one chip then test \leadsto requiring at most $n - 1 - 2i$ time tests

The complexity in the worst-case is $\Theta(n^2)$

Divide-and-Conquer

Assume n is even, divide n chips into groups of two and begin mutual test; the rest chips form a subproblem and begin the next round test

Elimination rules

- “good, good” \leadsto pick a random one into the next round
- other cases \leadsto discard them all

The end condition of recursion: $n \leq 3$

- 3 chips: one test suffices (think why? retain the same property as the original problem)
 - ① “good, good”: randomly pick one and output it
 - ② “good, bad”: output the rest one
 - ③ “bad, bad”: impossible
- 1 or 2 chips: both are good, no more test is needed

Correctness of Divide-and-Conquer Algorithm

Claim. When n is even, after one round of test, in the rest chips,
 $\#(\text{good chips}) - \#(\text{bad chips}) \geq 1$

Proof. Consider the following three cases:

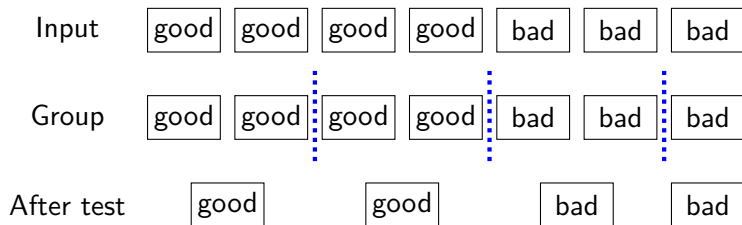
- ① Both are good (i groups) \leadsto keep a random one
- ② One is good, one is bad (j groups) \leadsto discard them all
- ③ Both are bad (k groups) \leadsto keep a random one

After one round test, $\#(\text{good chips}) \geq i$, $\#(\text{bad chips}) \leq k$

$$\left\{ \begin{array}{ll} 2i + 2j + 2k = n & \#(\text{chips}) \text{ before test} \\ 2i + j > 2k + j & \#(\text{good chips}) > \#(\text{bad chips}) \end{array} \right\} \Rightarrow i > k$$

Adjust when n is Odd

When n is odd, there would one chip left without group member.



Adjustment. When n is odd, add one-round direct test for the ungrouped chip

- if it is good, the algorithm is over
- else, discard it and enter into the next round (since $n - 1$ chips satisfying original property)

Algorithm 8: ChipTest(n)

```
1: if  $n = 3$  then                                     //smallest case
2:   randomly pick 2 chips;
3:   if 1 good 1 bad then return the rest one;
4:   else return a random one;
5: end
6: if  $n = 2$  or 1 then return a random one;
7: 

---


8: divide into  $\lfloor n/2 \rfloor$  groups;                       // adjust when  $n$  is odd
9: for  $i = 1$  to  $\lfloor n/2 \rfloor$  do
10:   if both are good then keep a random one;
11:   else discard both of them;
12: end
13:  $n \leftarrow \#(\text{rest chips});$ 
14: ChipTest( $n$ );
```

Complexity Analysis

For input size n , after each round test, the number of chips reduces at least by half

- $\#(\text{test})$ (include addition adjustment when n is odd): $\Theta(n)$

Recurrence relation

$$\left. \begin{array}{l} W(n) = W(n/2) + \Theta(n) \\ W(3) = 1, W(2) = W(1) = 0 \end{array} \right\} \Rightarrow W(n) = \Theta(n)$$

Summary of Divide-and-Conquer chip test algorithm

- Adjustment \leadsto guarantee the subproblem is of the **same type** as the original problem
- Split cost: $f(n) = \Theta(n) \leadsto$ ensure remarkable efficiency improvement over brute-force algorithm

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General Selection Problem

Selection. Given n elements from a totally ordered universe S , find k -th smallest.

- Minimum: $k = 1$ **min element**
- Maximum: $k = n$ **max element**
- Median: $k = \lfloor (n + 1)/2 \rfloor$
 - n is odd, the median is unique, $k = (n + 1)/2$
 - n is even, the median has two choices: $n/2$ and $n/2 + 1$, typically we choose $k = n/2$

Known results

- $O(n)$ compares for min or max.
- For general selection: $O(n \log n)$ compares by sorting, and $O(n \log k)$ compares with a binary heap.

Applications. Order statistics; find the “top k ”; bottleneck paths

Q. Can we do it with $O(n)$ compares?

A. Yes! Selection is easier than sorting.

About Median

Median of the list of numbers is its 50th percentile: half the numbers are larger than it, and half are smaller.

Example. The median of $[45, 1, 10, 30, 25]$ is 25.

Meaning of median. Summarize a set of numbers by a single, typical value.

- The *mean* or *average* is also very commonly used for this purpose.
- But, median is in a sense more typical
 - always one of the data values, unlike the mean
 - less sensitive to outliers.

Counterexample. The median of hundreds 1's is 1, as is mean. However, if just one of these numbers gets corrupted to 10000, the mean shoots above 100, while the median is unaffected with large probability.

Selecting Max

Algorithm. Sequential compare

1	8	4	17	3	12
---	---	---	----	---	----

1

max

$i = 1$

Output. $max = 4, i = 4$

Worst-case complexity. $W(n) = n - 1$

Selecting Max

Algorithm. Sequential compare

1	8	4	17	3	12
---	---	---	----	---	----

8

max

$i = 2$

Output. $max = 4, i = 4$

Worst-case complexity. $W(n) = n - 1$

Selecting Max

Algorithm. Sequential compare

1	8	4	17	3	12
---	---	---	----	---	----

8

max

$i = 2$

Output. $max = 4, i = 4$

Worst-case complexity. $W(n) = n - 1$

Selecting Max

Algorithm. Sequential compare

1	8	4	17	3	12
---	---	---	----	---	----

17

max

$i = 4$

Output. $max = 17, i = 4$

Worst-case complexity. $W(n) = n - 1$

Selecting Max

Algorithm. Sequential compare

1	8	4	17	3	12
---	---	---	----	---	----

17

max

$i = 4$

Output. $max = 17, i = 4$

Worst-case complexity. $W(n) = n - 1$

Selecting Max

Algorithm. Sequential compare

1	8	4	17	3	12
---	---	---	----	---	----

17

max

$i = 4$

Output. $max = 17, i = 4$

Worst-case complexity. $W(n) = n - 1$

Algorithm 9: SelectMax(A, n)

Input: $A[n]$

Output: max, j

```
1:  $max \leftarrow A[1];$   
2:  $j \leftarrow 1;$   
3: for  $i \leftarrow 2$  to  $n$  do  
4:   if  $max < A[i]$  then  
5:      $max \leftarrow A[i];$   
6:      $j \leftarrow i;$   
7:   end  
8: end  
9: return  $max, j$ 
```

Selecting Max and Min

Naive Algorithm

- ① Sequential compare, first choose *max* and remove it
- ② Then choose *min* in the left list, using the same algorithm but retain smaller element after each compare.

Selecting Max and Min

Naive Algorithm

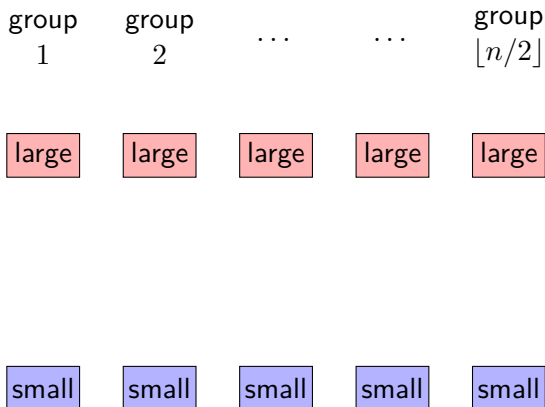
- ① Sequential compare, first choose *max* and remove it
- ② Then choose *min* in the left list, using the same algorithm but retain smaller element after each compare.

Worst-case time complexity

$$W(n) = n - 1 + n - 2 = 2n - 3$$

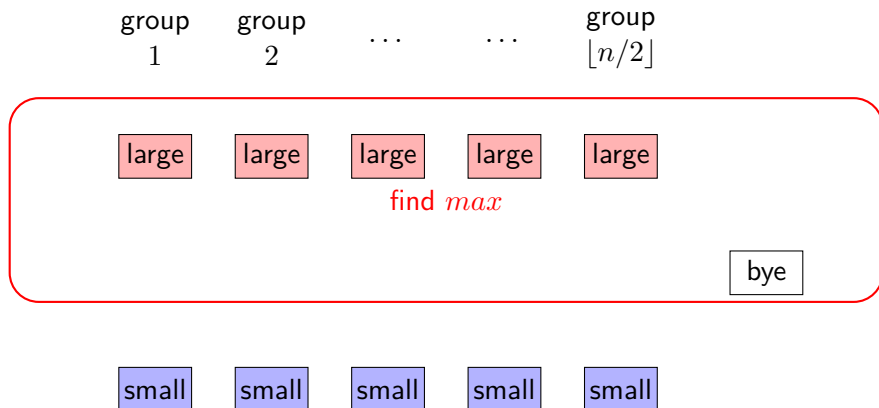
Grouping Algorithm

Idea. Split list into higher list and lower list.



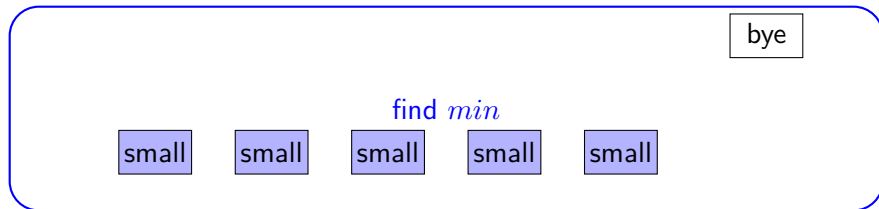
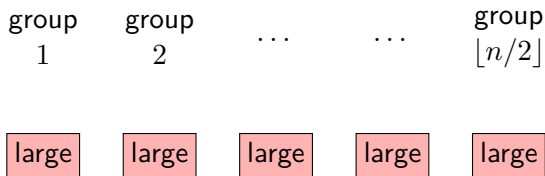
Grouping Algorithm

Idea. Split list into higher list and lower list.



Grouping Algorithm

Idea. Split list into higher list and lower list.



Pseudocode of Select Max and Min

Algorithm 10: FindMaxMin(A, n)

Input: unsorted $A[n]$

Output: max, min

- 1: divide n elements into $\lfloor n/2 \rfloor$ groups;
 - 2: compare two elements in each group, obtain $\lfloor n/2 \rfloor$ smaller and $\lfloor n/2 \rfloor$ larger;
 - 3: find max in $\lfloor n/2 \rfloor$ larger elements and the bye element;
 - 4: find min in $\lfloor n/2 \rfloor$ smaller elements and the bye element;
-

Summing it up, $W(n) = 3\lfloor n/2 \rfloor$

- Group inside compare: $\lfloor n/2 \rfloor$
- When n is even: select max : $n/2$, select min : $n/2$
- When n is odd: select max : $(n-1)/2 + 1 - 1$, select min : $(n-1)/2 + 1 - 1$

Divide-and-Conquer Strategy

Q. Can we make this algorithm recursive on n ?

A. Yes, but not optimal. Since selecting \min in higher list (resp. selecting \max in lower list) is a waste.

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How to solve FindMinMax via divide-and-conquer?

- 1 Divide A into left halve A_1 and right halve A_2
- 2 Recursively select \max_1 and \min_1 in A_1
- 3 Recursively select \max_2 and \min_2 in A_2
- 4 $\max \leftarrow \max\{\max_1, \max_2\}$
- 5 $\min \leftarrow \min\{\min_1, \min_2\}$

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How to solve FindMinMax via divide-and-conquer?

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- ③ Recursively select \max_2 and \min_2 in A_2
- ④ $\max \leftarrow \max\{\max_1, \max_2\}$
- ⑤ $\min \leftarrow \min\{\min_1, \min_2\}$

[2020 游泓慧] This recursive algorithm can be made iteratively like MergeSort.

Worse-Case Complexity

Assume $n = 2^k$, the recurrence relation of $W(n)$ is as below:

$$\begin{cases} W(n) = 2W(n/2) + 2 \\ W(2) = 1 \end{cases}$$

Solving for the exact value via substitute-then-iterate method:

$$\begin{aligned} W(2^k) &= 2W(2^{k-1}) + 2 \\ &= 2(2W(2^{k-2}) + 2) + 2 \\ &= 2^2W(2^{k-2}) + 2^2 + 2 \\ &= 2^iW(2^{k-i}) + 2^i + \dots + 2 \end{aligned}$$

The right side reach the initial value when $i = k - 1$, the summation is:

$$2^{k-1} + (2^{k-1} + \dots + 2^2 + 2) = 3 \cdot 2^{k-1} - 2 = 3n/2 - 2$$

Summary

Select Max. Sequentially compare, requires at most $n - 1$ compares

Select Max and Min. (worst-case)

- Naive algorithm: $2n - 3$
- Grouping algorithm: $3\lfloor n/2 \rfloor$
- Divide-and-Conquer: $3n/2 - 2$

It can be proved that grouping algorithm and divide-and-conquer algorithm are optimal for SelectMinMax, achieving the lower bound

Selecting the Second Largest

Input. $A[n]$

Output. The second largest max'

Selecting the Second Largest

Input. $A[n]$

Output. The second largest max'

Naive algorithm: sequential compare

- 1 select max from $A[n]$ via sequential compare
- 2 select max' from $A[n] \setminus max$, which is exactly the second largest

Time complexity: $W(n) = (n - 1) + (n - 2) = 2n - 3$

Optimized Method

Observation. The sufficient and necessary condition to be the second largest: only beaten by the largest

To determine the second largest element, we must know the largest element first.

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Idea. Trade space for time

- Record the elements that are beaten by the largest element in a set L along the way finding the largest
- Selecting the largest element among the elements in L .

Tournament Algorithm for Second Largest

- 1 Divide elements into groups of size 2
- 2 In each group, two elements compare, the larger one goes to the next level, and (only) records the beaten element in its list.
- 3 Repeat the above steps until there is only one element left, a.k.a. max
- 4 Select the largest element from the list of max , a.k.a. max'

The name comes from single-elimination tournament: players play in two-sided matches, and the winner is promoted to the next level up. The hierarchy continues until the final match determines the ultimate winner. The tournament determines the best player, but the player who was beaten in the final match may not be the second best - he may be inferior to other players the winner bested.

Pseudocode of SelectSecond

Algorithm 11: FindSecond(A, n)

Input: $A[n]$

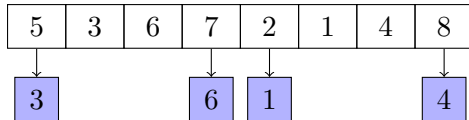
Output: Second largest element max'

- 1: $k \leftarrow n$ //number of elements;
 - 2: divide k elements into $\lfloor k/2 \rfloor$ groups;
 - 3: In each group, two elements compare to select larger;
 - 4: record the loser into the list of winner;
 - 5: **if** k is odd **then** $k \leftarrow 1 + \lfloor k/2 \rfloor$;
 - 6: **else** $k \leftarrow k/2$;
 - 7: **if** $k > 1$ **then** goto 2;
 - 8: $max \leftarrow$ ultimate winner;
 - 9: $max' \leftarrow max$ in the list of ultimate winner
-

- line 2-4: one round match
- line 5-6: compute the number of winners — $\lceil k/2 \rceil$
- line 7: next round match

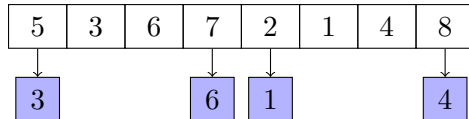
Demo of SelectSecond

1st round

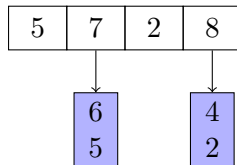


Demo of SelectSecond

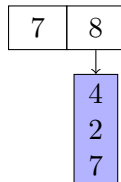
1st round



2nd round



3rd round



Complexity Analysis (1/3)

Proposition 1. Assume there are n elements, at most $\lceil n/2^i \rceil$ elements are left after i -th round match.

Proof. Carry mathematical induction over i :

- Induction basis $i = 1$: divide into $\lfloor n/2 \rfloor$ groups, kick off $\lfloor n/2 \rfloor$ elements, the number of elements prompted to the next level is

$$n - \lfloor n/2 \rfloor = \lceil n/2 \rceil$$

- Induction step: $P(i) \Rightarrow P(i+1)$. Assume the number of elements after i -th match is at most $\lceil n/2^i \rceil$, then after $i+1$ -th match, the number of elements is

$$\text{continuous rounding property} \Rightarrow \lceil \lceil n/2^i \rceil / 2 \rceil = \lceil n/2^{i+1} \rceil$$

Complexity Analysis (2/3)

Proposition 2. *max* compares with $\lceil \log n \rceil$ elements

Proof. Assume *max* is selected after k round match. According to Proposition 1, $\lceil n/2^k \rceil = 1$.

- if $n = 2^d$ for some $d \in \mathbb{Z}$, then:

$$\log n = \lceil \log n \rceil$$

$$k = d = \lceil \log n \rceil$$

- else $2^d < n < 2^{d+1}$ for some $d \in \mathbb{Z}$, then

$$d < \log n < d + 1$$

$$k = d + 1 = \lceil \log n \rceil$$

Complexity Analysis (3/3)

Phase 1: number of elements is n

- number of compares = $n - 1 \Leftarrow n - 1$ elements are eliminated (one compare kicks off one element)
-

Phase 2: number of elements is $\lceil \log n \rceil$, which is exactly the size of winner's list according to Proposition 2

- number of compares = $\lceil \log n \rceil - 1 \Leftarrow$ sequential compare or tournament algorithm ($\lceil \log n \rceil - 1$ elements are eliminated)
-

The overall time complexity:

$$\begin{aligned} W(n) &= n - 1 + \lceil \log n \rceil - 1 \\ &= n + \lceil \log n \rceil - 2 \end{aligned}$$

Summary

Find the second largest

- Naive algorithm (invoking FindMax twice) $2n - 3$
- Tournament Algorithm: $n + \lceil \log n \rceil - 2$
 - main trick: trade space for efficiency

Motivation of General Selection Problem

Computing the median has wide applications

- Naive algorithm: sort-then-find $\Rightarrow W(n) = n \log n$
- Ideally we expect linear complexity.
- We have reason to be hopeful. Sorting does far more than we really need — we do not care about the relative ordering of the rest of them.

When looking for a recursive algorithm, it is paradoxically more easier to work with a *more general* version of the problem – for the simple reason that this gives a more powerful step to recurse upon.

It also generalizes find the second largest.

General Selection Problem

Problem. Select k -th smallest

Input. list $A[n]$, integer $k \in [n]$

Output. the k -th smallest

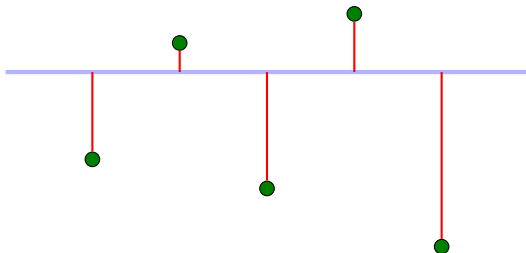
Example 1. $A = \{3, 4, 8, 2, 5, 9, 10\}$, $k = 4$, solution = 5

Example 2. Statistical data set S , $|S| = n$, select the median,
 $k = \lceil n/2 \rceil$

Application: Find the Optimal Pipeline Position

Problem. Assume there are n oil wells, the task is building a pipeline system to connect n oil wells. The pipeline system consists of a horizontal main pipeline, each oil well connects to the main pipeline via a vertical pipeline.

Optimization Goal. How to choose the position of main pipeline to minimize the total length of vertical pipelines?



Optimal Solution: the Median of Y Coordinates

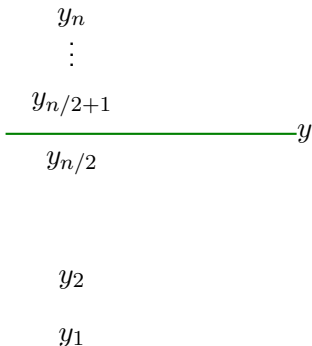
The main pipeline is horizontal \Rightarrow optimal solution is independent of the distribution of X coordinates

$$\begin{array}{c} y_n \\ \vdots \\ y_{n/2+1} \\ y \\ y_{n/2} \\ \\ y_2 \\ y_1 \end{array}$$

Optimal Solution: the Median of Y Coordinates

The main pipeline is horizontal \Rightarrow optimal solution is independent of the distribution of X coordinates

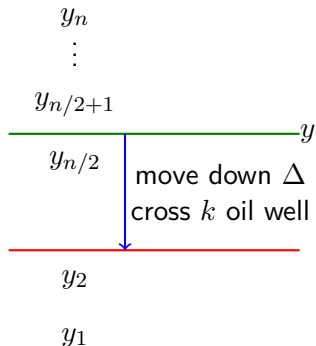
If the median is unique, then select it; else, choose any median of the two is fine (any horizontal line between the medians is also fine).



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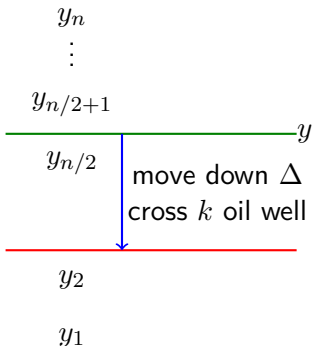
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each vertical pipeline
increases Δ

each vertical pipeline
increases/decreases at most Δ

each vertical pipeline
decreases length Δ

Analysis

We first consider the effect of moving down:

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if n is odd: the median is unique (number of wells that is above/below of median $n' = (n - 1)/2$)

- variation: $+n'\Delta$, at most $\pm k\Delta$, $-(n' - k)\Delta$, $0 \leq k \leq n'$

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if n is even: w.l.o.g. (above $n' = n/2$, below $= n/2 - 1$)

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In summary, the total length of vertical pipelines increases if the main pipeline moving down from median.

The same analysis also applies to the case of moving up, with the same effect.

Naive Algorithms

Algorithm 1

- invoke algorithm SelectMin k times
- time complexity is: $O(kn)$

Naive Algorithms

Algorithm 1

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- time complexity is: $O(kn)$

Algorithm 2

- sort, then output the k -smallest number
- time complexity is: $O(n \log n)$

Divide-and-Conquer: Quick Select

Assume n elements are distinct, the idea is 3-way partition:

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Assume n elements are distinct, the idea is **3-way partition**:

- Using some m^* as pivot to split S so that m^* is in place, smaller elements in left subarray S_1 and larger elements in right subarray S_2
 - ① If $k \leq |S_1|$, then find the k -smallest in S_1
 - ② If $k = |S_1| + 1$, then m^* is the k -smallest
 - ③ If $k > |S_1| + 1$, then find the $k - |S_1| - 1$ -smallest in S_2

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The efficiency is determined by the size of subproblems.

Divide-and-Conquer: Quick Select

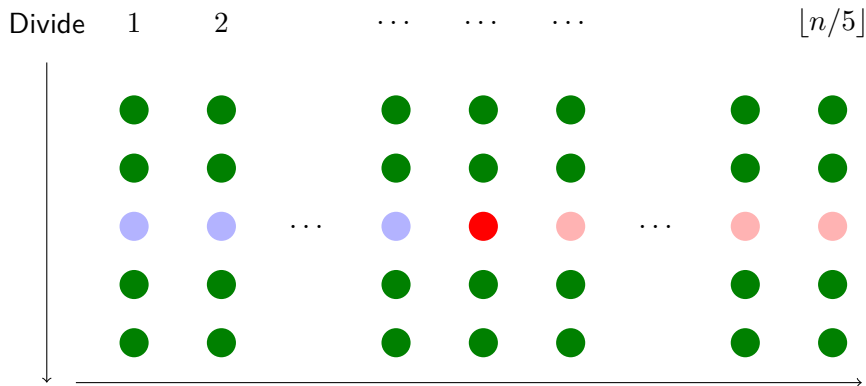
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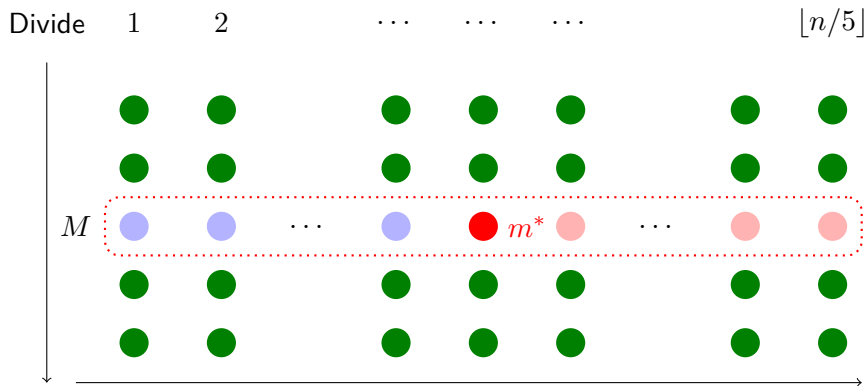
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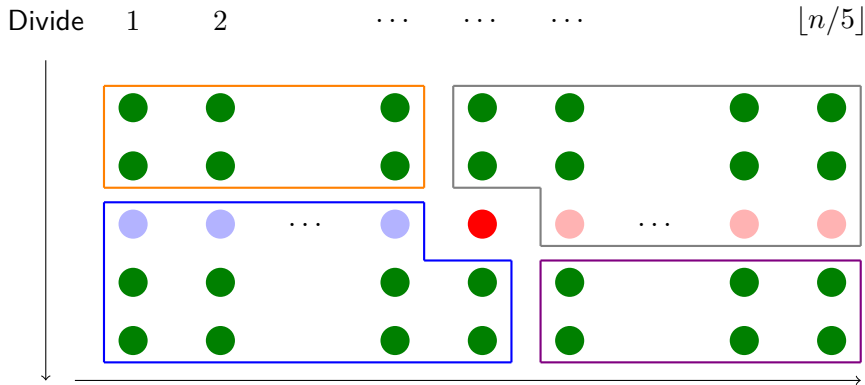
Question. How to choose m^* to control size of subproblems?

The Selection of m^* and Dividing



The Selection of m^* and Dividing





- A zone: require compares with m^*
- B zone: larger than m^*
- C zone: smaller than m^*
- D zone: require compares with m^*

Demo: $n = 15$, $k = 6$

8	2	3	5	7	6	11	14	1	9	13	10	4	12	15
---	---	---	---	---	---	----	----	---	---	----	----	---	----	----

	8	14	15	
	7	11	13	
M	5	9	12	$m^* = 9$
	3	6	10	
	2	1	4	
	8	14	15	
A	7	11	13	B
	5	9	12	
C	3	6	10	D
	2	1	4	

Divide to Subproblems

	8	14	15	
	7	11	13	
S_1	5	9	12	S_2
	3	6	10	
	2	1	4	

subproblem: $\{8, 7, 5, 3, 2, 6, 1, 4\}$

size of subproblem = 8, $k = 6$

Pseudocode of QuickSelect

Algorithm 12: QuickSelect($A[n], k$)

- 1: divide elements in A into groups of size 5, there are totally $m = \lceil n/5 \rceil$ groups;
 - 2: sort each group and place the medians into M ;
 - 3: $m^* \leftarrow$ QuickSelect($M, \lceil |M|/2 \rceil$) //split S into A, B, C, D ;
 - 4: For elements in A and D , record the ones smaller than m^* into S_1 , the ones larger than m^* into S_2 ;
 - 5: $S_1 \leftarrow S_1 \cup C, S_2 \leftarrow S_2 \cup B$;
 - 6: **if** $k = |S_1| + 1$ **then** output m^* ;
 - 7: **else if** $k \leq |S_1|$ **then**
 - 8: QuickSelect(S_1, k);
 - 9: **else** QuickSelect($S_2, k - |S_1| - 1$);
-

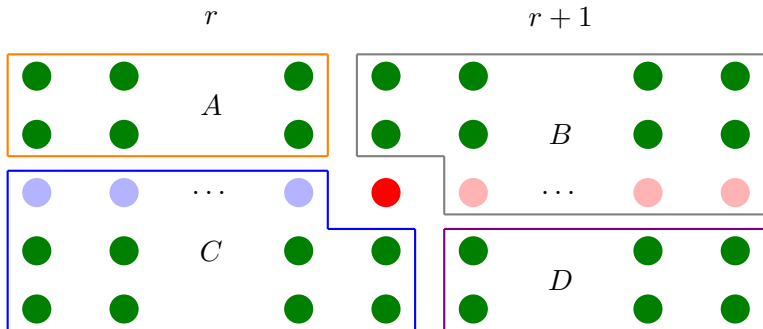
- line 4-5: split
- line 7-9: recursively solve subproblems

Complexity Analysis

Each round of QuickSelect algorithm consists of two recursive calls of QuickSelect

- ① select median from median M as pivot for dividing
- ② the real subproblem

The overall complexity of the algorithm is determined by the quality of dividing



unbalanced divide \leadsto bad complexity

We consider an extreme case: elements in A zone and D zone go to the same side.

- $n = 5(2r + 1)$, $|A| = |D| = 2r$
- the size of subproblems is at most: $2r + 2r + 3r + 2 = 7r + 2$

Estimation of the Size of Subproblems

Assume $n = 5(2r + 1)$, $|A| = |D| = 2r$

$$r = \frac{n/5 - 1}{2} = \frac{n}{10} - \frac{1}{2}$$

The size of subproblem after dividing is at most:

$$\begin{aligned} 7r + 2 &= 7 \left(\frac{n}{10} - \frac{1}{2} \right) + 2 \\ &= \frac{7n}{10} - \frac{3}{2} < \frac{7n}{10} \end{aligned}$$

Recurrence Relation for Worst-Case Complexity

Worse-case complexity $W(n)$

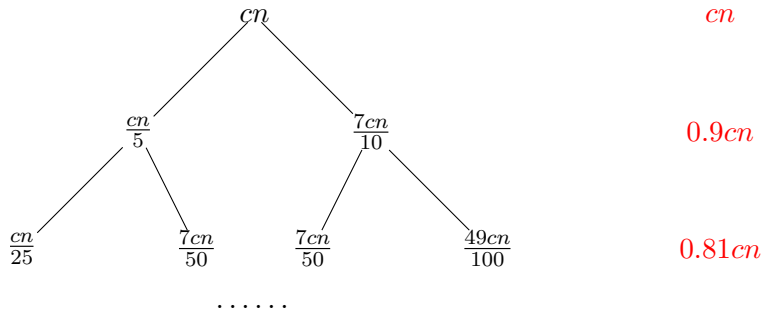
- line 2: $O(n)$ //select median among each 5 elements (constant time), form M
- line 3: $W(n/5)$ //find median m^* of M
- line 4: $O(n)$ //divide S using m^* (only need to compare A and D)
- line 8-9: $W(7n/10)$ //recursive call to the subproblem

The recurrence relation is:

$$W(n) \leq W(n/5) + W(7n/10) + O(n)$$

Solving via Recurrence Tree

$$W(n) \leq W(n/5) + W(7n/10) + O(n)$$



- the depth of tree is $\Theta(\log n) \Rightarrow$ the number of leaf nodes is $\Theta(n)$; the cost of solving smallest problem is constant \Rightarrow the cost of all smallest problem is $\Theta(n)$

$$W(n) \leq cn(1 + 0.9 + 0.9^2 + \dots) + \Theta(n) = \Theta(n)$$

Discussion

Q. Why we have to divide the elements into groups of size 5? Can we choose the group size as 3 or 7?

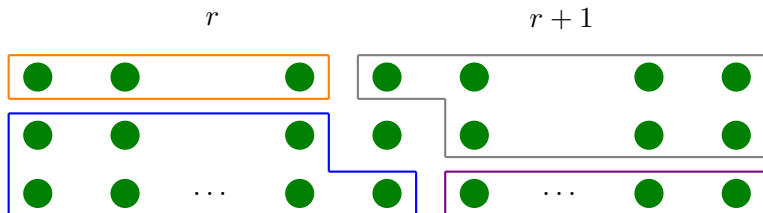


Analysis. The group size will affect overall complexity. Let t be the group size.

- 1 The cost of selecting m^* is related to $|M| = n/t$. The larger is t , the smaller is $|M|$.
- 2 The size of subproblem after dividing is related to t . The larger is t , the larger is $|S_i|$.

We have to hit the sweet balance.

Case Study: $t = 3$



$$n = 3(2r + 1), r = (n/3 - 1)/2 = n/6 - 1/2$$

The subproblem size is at most: $4r + 1 = 4n/6 - 1$

Recurrence relation of worst-case complexity is:

$$W(n) = W(n/3) + W(4n/6) + cn$$

Solving by recurrence tree $\Rightarrow W(n) = \Theta(n \log n)$

Summary

Crux. When $|M| + |S_i| < n$, then the total cost on the inner nodes of recurrence tree forms geometric series with common ratio less than 1. $W(n)$ is $\Theta(n)$ only in this case.

Selecting max or min

- Naive sequential compare: $W(n) = n - 1$

Selecting max and min

- grouping algorithm: $W(n) = 3\lfloor n/2 \rfloor$
- divide-and-conquer: $W(n) = 3n/2 - 2$

Selecting the second largest: the tournament algorithm

$$W(n) = n + \lceil \log n \rceil - 2$$

General selecting problem: divide-and-conquer algorithm

$$W(n) = \Theta(n)(\approx 4n)$$

Linear-time Selection Postmortem

Proposition. [Blum-Floyd-Pratt-Rivest-Tarjan 1973] There exists a compare-based selection algorithm whose $W(n) = O(n)$.

Time Bounds for Selection

by .

Manuel Blum, Robert W. Floyd, Vaughan Pratt,
Ronald L. Rivest, and Robert E. Tarjan

Abstract

The number of comparisons required to select the i -th smallest of n numbers is shown to be at most a linear function of n by analysis of a new selection algorithm -- PICK. Specifically, no more than $5.4305n$ comparisons are ever required. This bound is improved for

Theory.

- Optimized version of BFPRT: $\leq 5.4305n$ compares.
- Best known upper bound [Dor-Zwick 1995]: $\leq 2.95n$.
- Best known lower bound [Dor-Zwick 1999]: $\geq (2 + \epsilon)n$.

Practice.

- Constant and overhead (currently) too large to be useful.

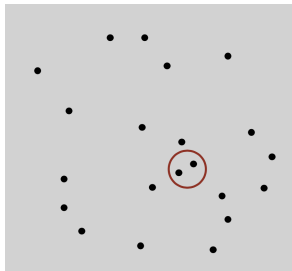
- 1 Introduction of Divide-and-Conquer
- 2 Quick Sort
- 3 Chip Test
- 4 Selection Problem
 - Selecting Max and Min
 - Selecting the Second Largest
 - General Selection Problem
- 5 Closest Pair of Points
- 6 Convex Hull

Finding the Closest Pair of Points

Input. Given $n > 1$ points in the plane P , find a pair of points with smallest Euclidean distance between them.

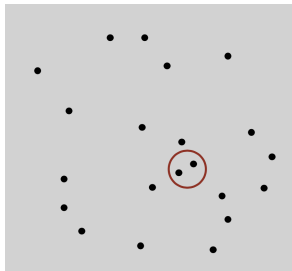
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Fundamental geometric primitive.

- Graphics, computer vision, geographic information systems, molecular modeling, air traffic control.
- Special case of nearest neighbor, Euclidean MST, Voronoi

fast closest pair inspired fast algorithms for these problems

Attempts

Brute-force. Check all C_n^2 pairs with distance calculations \leadsto time complexity $\Theta(n^2)$

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Nondegeneracy assumption. No two points have the same x -coordinate.

$\Theta(n^2)$ complexity seems inevitable. Can we do better?

Divide-and-Conquer

Idea. Partition P into P_L and P_R of roughly the same size

- Divide: draw vertical line l so that $n/2$ points on each side: P_L and P_R
- Conquer: find closest pair of points in each side recursively
- **Combine**: find closest pair with one point in each side.
- Return best of 3 solutions.

Divide-and-Conquer

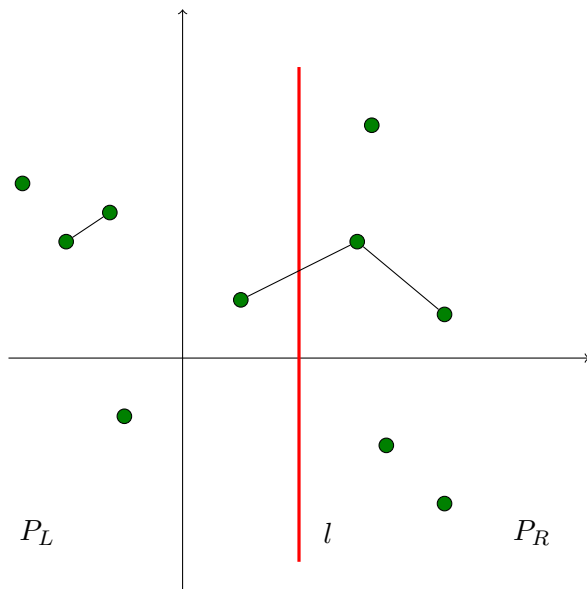
Idea. Partition P into P_L and P_R of roughly the same size

- Divide: draw vertical line l so that $n/2$ points on each side: P_L and P_R
- Conquer: find closest pair of points in each side recursively
- **Combine**: find closest pair with one point in each side.
- Return best of 3 solutions.



The combine step seems again require $\Theta(n^2)$

Demo of Partition: $n = 10$



Algorithm 13: MinDistance(P, X, Y)

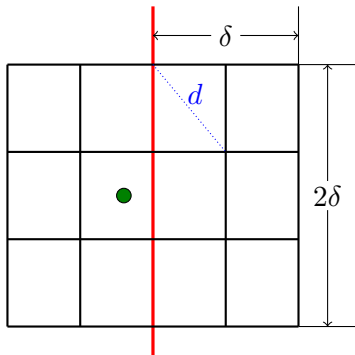
Input: Points set P , coordinates set X and Y

Output: the closest pair of points and distance

- 1: **if** $|P| < 3$ **then** direct compute;
 - 2: sorted X and Y ;
 - 3: draw midline l to partition P into P_L and P_R ;
 - 4: $\delta_L \leftarrow \text{MinDistance}(P_L, X_L, Y_L)$;
 - 5: $\delta_R \leftarrow \text{MinDistance}(P_R, X_R, Y_R)$;
 - 6: $\delta = \min(\delta_L, \delta_R)$; // δ_L, δ_R are solutions to subproblems ;
 - 7: check nodes within certain distance to l ;
 - 8: **if** *distance is smaller than δ* **then** update δ as this value;
-

How to find closest pair with one point in each side?

Observation. Only need to consider points within δ of line l .



$$\begin{aligned}d &= \sqrt{(\delta/2)^2 + (2\delta/3)^2} \\&= \sqrt{\delta^2/4 + 4\delta^2/9} \\&= \sqrt{25\delta^2/36} = 5\delta/6\end{aligned}$$

In each rectangles in the right side, there is at most one point

- each point at most is required to compare with 6 points in the opposite side
- checking one point requires constant time \leadsto compare $\Theta(n)$ points requires $\Theta(n)$ time

Treatment for Points Cross Midline

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For one point, selection-then-calculation can be done in constant time, totally $\Theta(n)$ for n points

Complexity Analysis

step	operation	time complexity
1	smallest problem	$O(1)$
2	sort X and Y	$O(n \log n)$
3	partition	$O(1)$
4-5	subproblems	$2W(n/2)$
6	$\delta = \min\{\delta_L, \delta_R\}$	$O(1)$
7	cross midline treatment	$O(n)$

Why sorting X and Y is necessary?

- sort X : partition P to P_L and P_R
- sort Y : deal with the strip

$$\begin{cases} W(n) = 2W(n/2) + O(n \log n) \\ W(n) = O(1), n \leq 3 \end{cases}$$

$$\text{recursion tree} \Rightarrow W(n) = O(n \log^2 n)$$

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Improved approach.

- 1 **Preprocessing.** sort X and Y before recursion
- 2 split sorted X and Y when partitioning, obtaining sorted X_L , Y_L for P_L , and sorted X_R , Y_R for P_R
 - splitting X is simple: split by the median
 - splitting Y : according to the split result of X

When the size of original problem is n , splitting complexity is $O(n)$

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sorting points from scratch each time \leadsto sorting once and then splitting

Details of Sorting and Splitting

Data structure. two lists $X[n], Y[n]$, each element is a label i , sorted in ascending order of x, y coordinates **once**

Splitting of X : simple, but additional trick is needed to facilitate splitting of Y . Let n be the current size of problem

- generate a indicator map H of size n , $H[i] = 0$ indicates point i in the left, $H[i] = 1$ indicates point in the right.
- time complexity is $O(n)$

Splitting of Y : sequentially scanning $Y[n]$

- if $H[Y[i]] = 0$, classify $Y[i]$ to the left side, else classify it to the right side, yielding sorted Y_L and Y_R .
- time complexity is $O(n)$

Demo of Splitting in Recursion

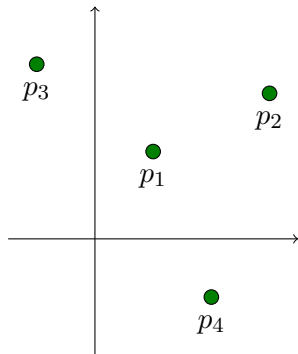


Table: Input

P	1	2	3	4
x	0.5	2	-2	1
y	2	3	4	-1

Table: Preprocessing: sort

X	3	1	4	2
Y	4	1	2	3

Table: Splitting

X_L	3	1
Y_L	1	3

Table: Splitting

X_R	4	2
Y_R	4	2

Improved Divide-and-Conquer Algorithm

$T(n)$ is the overall complexity, $O(n \log n)$ is the complexity of global preprocessing, $T'(n)$ is the complexity of main recursive algorithm,

$$\begin{cases} T(n) = T'(n) + O(n \log n) \\ T'(n) = 2T'(n/2) + O(n) \\ T'(n) = O(1) \quad n \leq 3 \end{cases}$$

master theorem (case 2) $\Rightarrow T'(n) = \Theta(n \log n)$

Putting all the above together, $T(n) = \Theta(n \log n)$

Lower bound. In quadratic decision tree model (compute the Euclidean distance then compare), any algorithm for closest pair (even in 1D) requires $\Theta(n \log n)$ quadratic tests.

- 1 Introduction of Divide-and-Conquer
- 2 Quick Sort
- 3 Chip Test
- 4 Selection Problem
 - Selecting Max and Min
 - Selecting the Second Largest
 - General Selection Problem
- 5 Closest Pair of Points
- 6 Convex Hull

Convex Hull

Convex Hull for a set of points A is the smallest convex polygon that contains all these points. The points are either inside the convex polygon or on the edges.

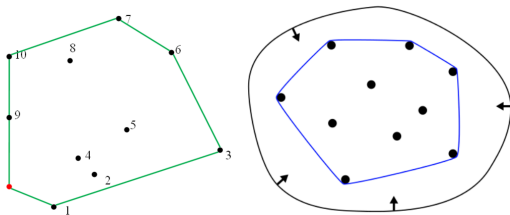


Figure: The convex hull may be visualized as the shape enclosed by a rubber band stretched around the subset.

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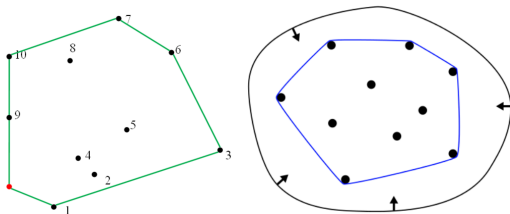


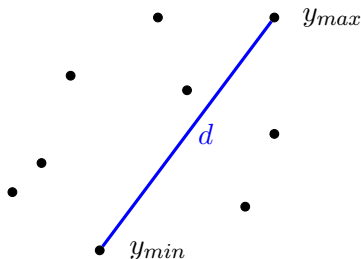
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Applications

- **Theory.** mathematics, combinatorial optimization, economics
- **Practice.** computer graphics/vision: shape recognition, image processing

Divide-and-Conquer Algorithm

- 1 Draw a line between point with y_{\max} and point with y_{\min} :
 $d = \{y_{\max}, y_{\min}\}$
- 2 Split A into A_{left} and A_{right}



- 3 $\text{Convex}(A) = \text{Convex}(A_{\text{left}}) \cup \text{Convex}(A_{\text{right}})$

Q. How to split A via algorithm but not your eye? How to decide a given point lies in the right side or the left side?

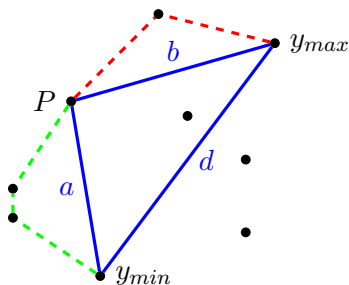
A. More tricks in computer geometry is needed.

Convex(A_{left})

Finding convex hull for A_{left}

- find the farthest point P to line d , then form a triangle with d
- eliminate all the points inside the triangle
- the points outside a and a form one subproblem of A_{left}
- the points outside b and b form another subproblem of A_{left}

The recursion stops when reaching to the smallest subproblem: the triangle, no points outside



Q. How to decide if a point lies inside or outside a triangle? ©Yu Chen

Complexity Analysis

Determine d : $O(n)$ //find max and min of y coordinates

Split A as per d : $O(n)$ //the decision of one point requires constant time, totally $n - 2$ points

FindConvex($A[n']$): $W(n')$

- Finding the farthest P : $O(n')$
- Eliminate inside points and forms subproblems: $O(n')$

Worst-case corresponds to the extreme unbalanced splitting:

$$\left. \begin{array}{l} W(n') = W(n' - 1) + O(n) \\ W(3) = 1 \end{array} \right\} \Rightarrow W(n') = O(n'^2)$$

$T(n) = O(n) + W(n_1) + W(n_2) = O(n^2)$, where $n_1 + n_2 = n + 2$.

Better Algorithm

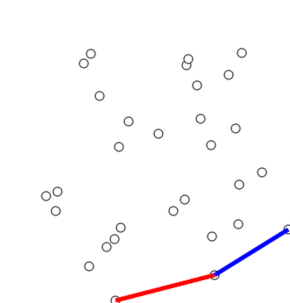
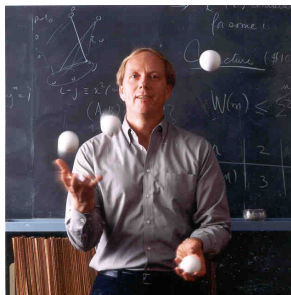


Figure: Ronald Graham

linear scanning \leadsto time complexity $O(n \log n)$

- Scheduling theory, Computational geometry, Ramsey theory
- Concrete Mathematics (with Donald Knuth and Oren Patashnik)
- Popularized the concept of the Erdős number