The control of a large force is the same principle as the control of a few men: it is merely a question of dividing up their numbers.

- Sun Zi, *The Art of War* (c. 400CE), translated by Lionel Giles (1910)

Our life is frittered away by detail.... Simplify, simplify.

Henry David Thoreau, Walden (1854)

Now, don't ask me what Voom is. I never will know. But, boy! Let me tell you, it DOES clean up snow!

— Dr. Seuss [Theodor Seuss Geisel], The Cat in the Hat Comes Back (1958)

Do the hard jobs first. The easy jobs will take care of themselves.

attributed to Dale Carnegie

From Jeff Erickson, alogrithms.wtf

# Lecture 3: Divide & Conquer [Recursion, Erickson; Divide & Conquer, KT]

William Umboh
School of Computer Science

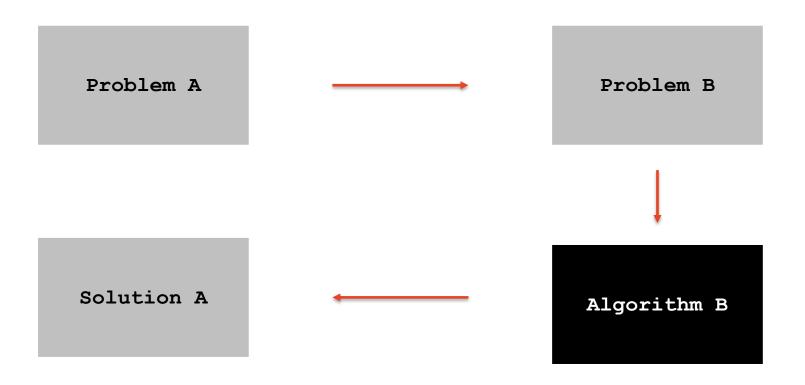




## General techniques in this course

- Greedy algorithms [W2]
- Divide & Conquer algorithms [today]
- Dynamic programming [W4-5]
- Network flow algorithms [W6-7]

## Reduction: Powerful Idea in Computer Science



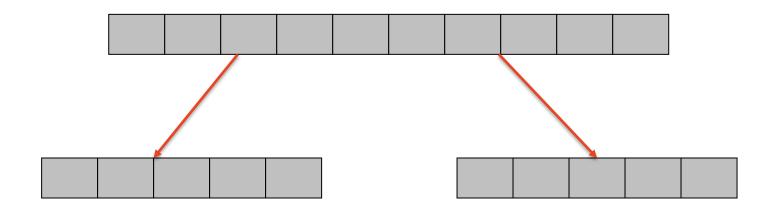
Problem B is a smaller instance of Problem A: Divide-and-Conquer, Dynamic programming OR

Problem B is easier than Problem A: Network Flows, NP-hardness

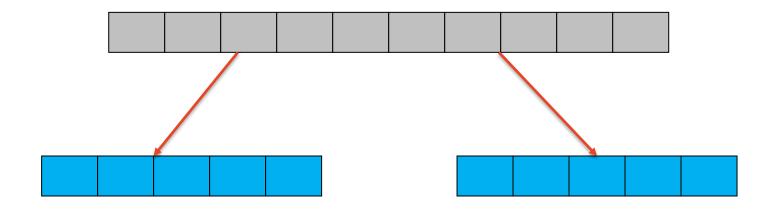
- Divide-and-conquer [usually 3 steps]
  - 1. Divide: Break up problem into several parts.
  - 2. Conquer: Solve each part recursively.
  - 3. Combine solutions to sub-problems into overall solution.



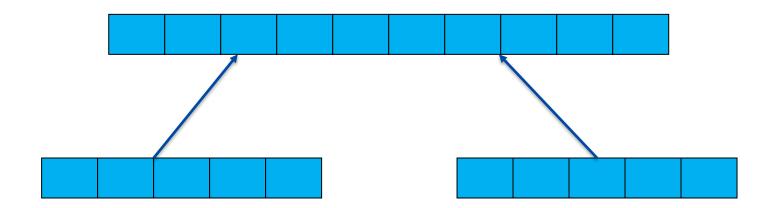
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- Divide-and-conquer [usually 3 steps]
  - 1. Divide: Break up problem into several parts.
  - 2. **Conquer**: Solve each part recursively.
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- Divide-and-conquer [usually 3 steps]
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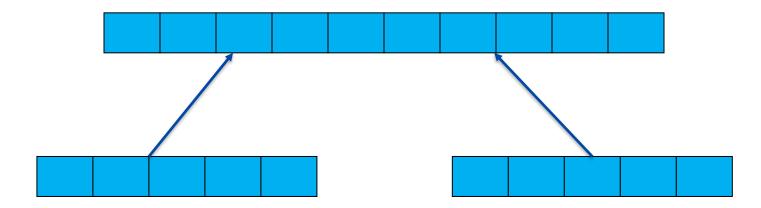


#### Divide-and-conquer [usually 3 steps]

- 1. Divide: Break up problem into several smaller parts.
- 2. Conquer: Solve each part recursively.
- 3. Combine solutions to sub-problems into overall solution.

#### Most common usage.

- Break up problem of size n into two equal parts of size  $\frac{1}{2}$ n.
- Solve two parts recursively.
- Combine two solutions into overall solution in linear time.



#### Divide-and-conquer [usually 3 steps]

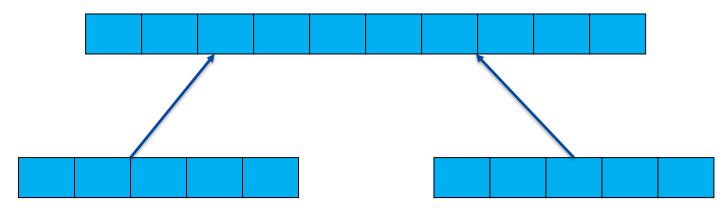
- 1. Divide: Break up problem into several smaller parts.
- 2. Conquer: Solve each part recursively.
- 3. Combine solutions to sub-problems into overall solution.

#### Proof of Correctness

By induction on n.



- Base case. Typically, but not always, n = 1.
- Inductive case. Prove correctness of combine step assuming correctness of solutions to sub-problems (inductive hypothesis)



#### Divide-and-conquer [usually 3 steps]

- 1. Divide: Break up problem into several smaller parts.
- 2. Conquer: Solve each part recursively.
- 3. Combine solutions to sub-problems into overall solution.

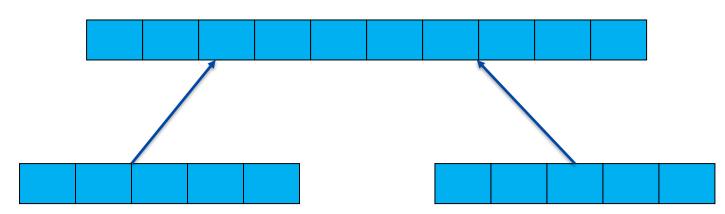
#### Time complexity

2T(n/2)

Solve recurrence relation



- T(n) = divide step + combine step + subproblems



# Warmup: Searching

**Input:** A sorted sequence S of n numbers  $a_1, a_2, ..., a_n$ , stored in an array A[1..n].

**Question:** Given a number x, is x in S?

0	1	3	4	5	7	10	13	15	18	19	23

- -m = ceil(n/2)
- Compare x to the middle element of the array (A[m]).
- If A[m] = x then "Yes"
- Otherwise, if A[m] > x then recursively Search A[1...m-1].
- Otherwise, if A[m] < x then recursively Search A[m+1...n]

0	1	3	4	5	7	10	13	15	18	19	23

- m = ceil(n/2)
- Compare x to the middle element of the array (A[m]).
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- Otherwise, if A[m] > x then recursively Search A[1...m-1]. Otherwise, if A[m] < x then recursively Search A[m+1...n]

#### Proof of correctness by induction on n:

- Base case (n = 1). Trivial.
- Inductive case. Assume correct on input sizes < n.
  - x is in A if and only if it is in the subarray in the recursive call
  - Apply inductive hypothesis

- Compare x to the middle element of the array (A[n/2]).
- If A[n/2] = x then "Yes"
- Otherwise, if A[n/2] > x then recursively Search A[1...n/2-1].
- Otherwise, if A[n/2] < x then recursively Search A[n/2+1...n]

**Example of inductive case:** x=1 (non-integers are rounded up)

0	1	3	4	5	7	10	13	15	18	19	23	
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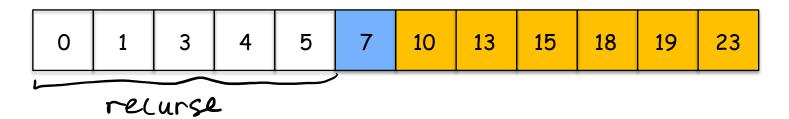
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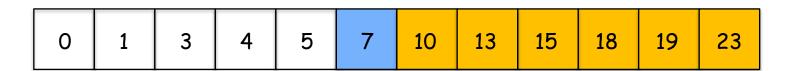


Do not unroll recursion! Our job is to reduce to smaller instances and apply correctness on smaller instances.

See also "Recursion Fairy" in Erickson's textbook.

- Compare x to the middle element of the array (A[n/2]).
- If A[n/2] = x then "Yes"
- Otherwise, if A[n/2] > x then recursively Search A[1...n/2-1].
- Otherwise, if A[n/2] < x then recursively Search A[n/2+1...n]

**Example of inductive case:** x=1 (non-integers are rounded up)



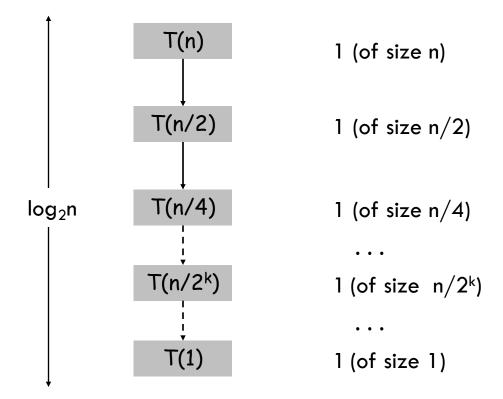
Analysis:

O(1) T(n/2)

- T(n) = divide step + combine step + subproblems = 1 + T(n/2)

## Analyze recurrence via recursion tree

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



- Compare x to the middle element of the array (A[n/2]).
- If A[n/2] = x then "Yes"
- Otherwise, if A[n/2] > x then recursively Search A[1...n/2-1].
- Otherwise, if A[n/2] < x then recursively Search A[n/2+1...n]

**Example of inductive case:** x=1 (non-integers are rounded up)



#### **Analysis:**

 $- T(n) = 1 + T(n/2) = O(\log n)$ 

# Maximum-sum contiguous subarray

Given an array A[] of n numbers, find the maximum sum found in any contiguous subarray

A zero-length subarray has maximum 0

#### **Example:**

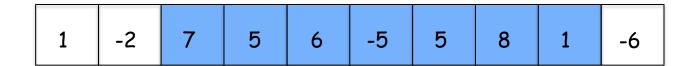
1	-2	7	5	6	-5	5	8	1	-6

# Maximum-sum contiguous subarray

Given an array A[] of n numbers, find the maximum sum found in any contiguous subarray

A zero-length subarray has maximum 0

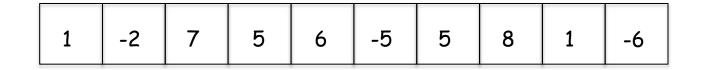
#### **Example:**



## Divide-and-conquer algorithm (first try)

Maximum contiguous subarray (MCS) in A[1..n]

If 
$$n > 1$$
, return  $\max\{MCS(A[1..n/2]), MCS(A[n/2+1..n])\}$   
If  $n = 1$ ,  
If  $A[1] < 0$ , return  $0$   $=$   
Else return  $A[1]$ 



Problem: what if optimal subarray contains A[n/2, n/2+1]?

## Divide-and-conquer algorithm

#### Maximum contiguous subarray (MCS) in A[1..n]

- Three cases:
  - a) MCS in A[1..n/2]
  - b) MCS in A[n/2+1..n]
  - c) MCS that spans A[n/2, n/2 + 1]
- (a) & (b) can be found recursively



A[m2 7)

- (c) can be found in two steps
  - Consider MCS in A[1..n/2] ending in A[n/2].
  - Consider MCS in A[n/2+1..n] starting at A[n/2+1].
  - Sum these two maximum

## Idea of divide-and-conquer

Example 1: 
$$10 \ 15 \ -3 \ -4 \ -2 \ -1 \ 8 \ 5 \ max on L (recursion) 25  $10 \ 15 \ max on R (recursion) 13 \ mid extend to L  $328 \ mid extend to R$   $10 \ 15 \ -3 \ -4 \ mid extend to R$$$$

- Possible candidates:
  - 25, 13, 28 (=18+10)
  - overall maximum 28.



## Idea of divide-and-conquer

Example 2: 
$$-2$$
 5  $-1$   $-5$  2  $-1$  max on L (recursion) 5  $\frac{5}{max}$  max on R (recursion) 3  $\frac{2}{mid}$  extend to L  $+\frac{7}{4}$   $+\frac{5}{mid}$   $+\frac{1}{mid}$   $+\frac{1}$ 

- Possible candidates:
  - -5,3,4(=4+0)
  - overall maximum 5

## Divide-and-conquer algorithm

Maximum contiguous subarray (MCS) in A[1..n]

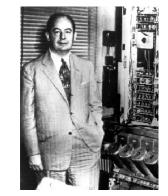
- (a) & (b) can be found recursively
- (c) can be found in two steps

  - Consider MCS in A[1..n/2] ending in A[n/2].
    Consider MCS in A[n/2+1..n] starting at A[n/2+1].
    O(n)
  - Sum these two maximum

Total time: 
$$T(n) = 2 \cdot T(n/2) + O(n) = O(n \log n)$$

## **Mergesort - Recap**

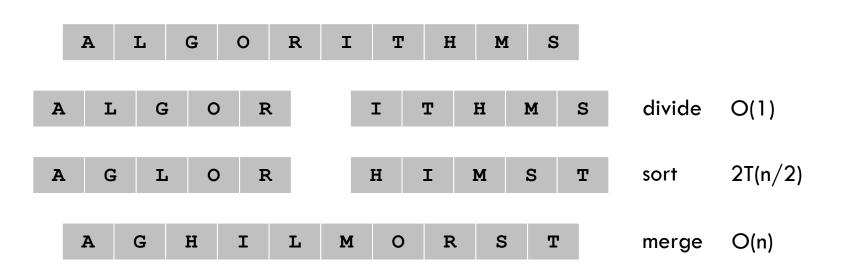
- 1. Divide array into two halves.
- 2. Conquer: Recursively sort each half.



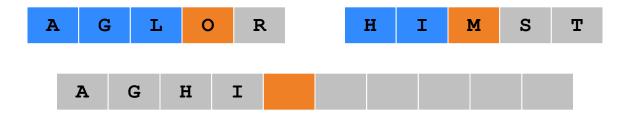
John von Neumann (1945)

3. Combine: Merge two halves to make sorted whole.

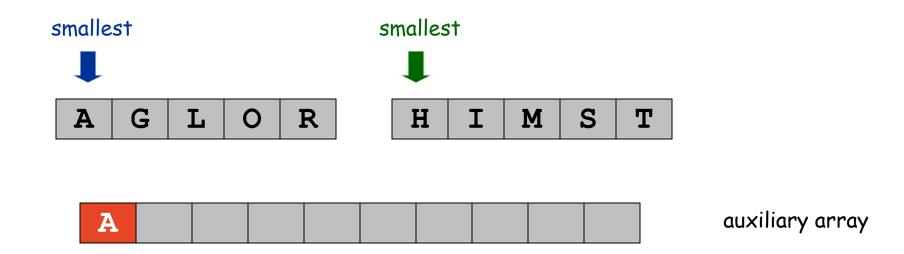




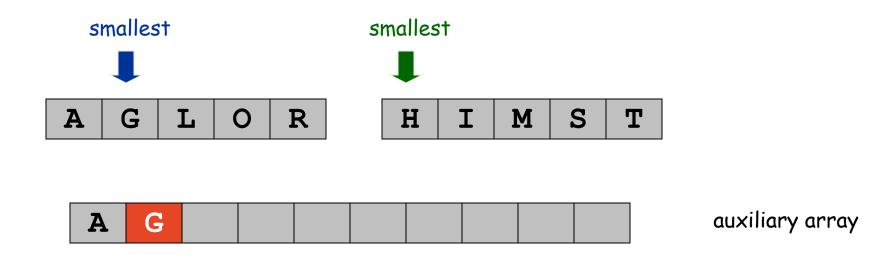
- Merging. Combine two pre-sorted lists into a sorted whole.
- How to merge efficiently?
  - Linear number of comparisons.
  - Use temporary array.



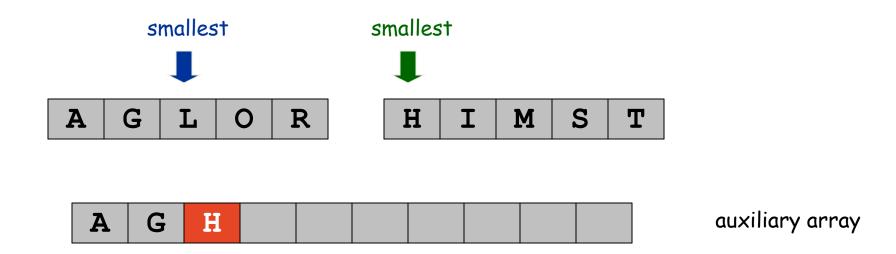
- Merge.
  - Keep track of smallest unprocessed element in each sorted half.
  - Insert smallest of two elements into auxiliary array.
  - Repeat until done.



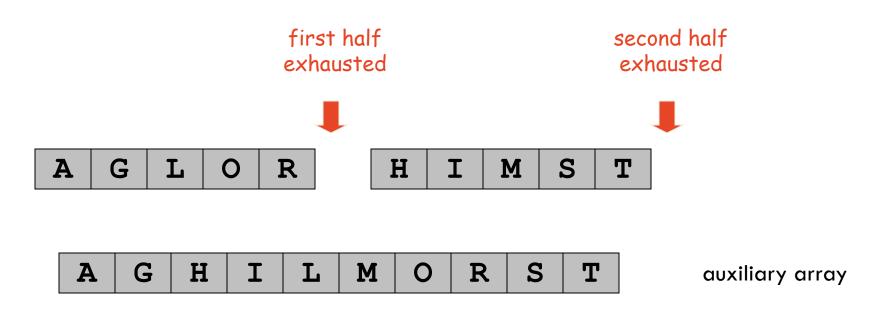
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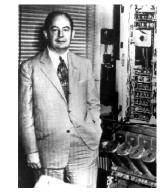


Total # comparisons: O(n)

Note: runtime dominated by # comparisons

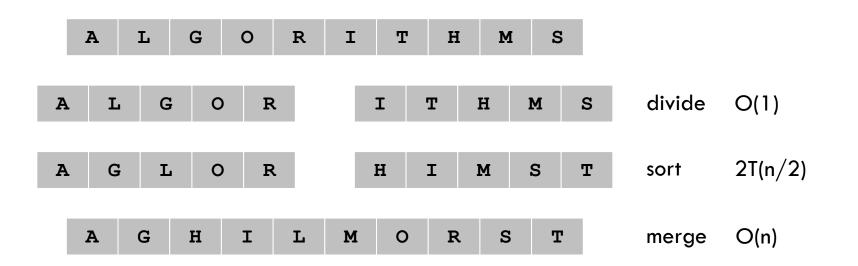
## Mergesort

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- 2. Conquer: Recursively sort each half.



John von Neumann (1945)

3. Combine: Merge two halves to make sorted whole.



# **Counting Inversions**

## **Counting Inversions**

- Music site tries to match your song preferences with others.
  - You rank n songs.
  - Music site consults database to find people with similar tastes.
- Similarity metric: number of inversions between two rankings.
  - My rank: 1, 2, ..., n.
  - Your rank: a<sub>1</sub>, a<sub>2</sub>, ..., a<sub>n</sub>.
  - Songs i and k inverted if i < k, but  $a_i > a_k$ .

	Songs									
	Α	В	С	D	Ε					
Me	1	2	3	4	5					
You	1	3	4	2	5					

Inversions 3-2, 4-2

- Brute force: check all  $\Theta(n^2)$  pairs i and k.

# **Applications**

- Applications.
  - Voting theory.
  - Collaborative filtering.
  - Measuring the "sortedness" of an array.
  - Sensitivity analysis of Google's ranking function.
  - Rank aggregation for meta-searching on the Web.
  - Nonparametric statistics (e.g., Kendall's Tau distance).

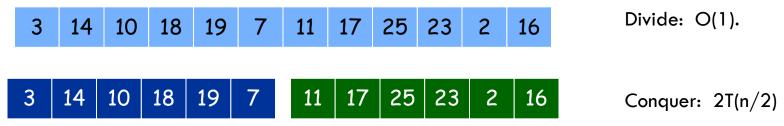
- Divide-and-conquer.
  - Divide: separate list into two pieces.
  - Conquer: recursively count inversions in each half.
  - Combine: count inversions where  $a_i$  and  $a_k$  are in different halves, and return sum of three quantities.

3 14 10 18 19 7 11 17 25 23 2 16

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5 blue-blue inversions

14-10, 14-7, 10-7, 18-7, 19-7

11-2, 17-2, 17-16, 25-2, 25-16, 25-23, 23-2, 23-16

8 green-green inversions

- Divide-and-conquer.
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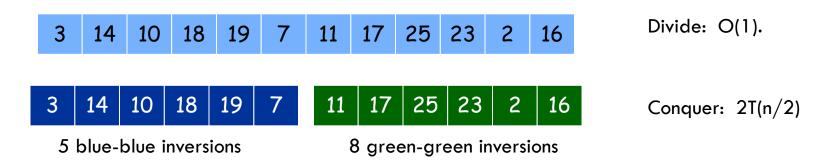
8 green-green inversions

13 blue-green inversions

Total = 
$$5 + 8 + 13 = 26$$
.

#### **Key Observation:**

- For each  $\alpha_k$  on the right half, the number of blue-green inversions it is involved in is exactly the number of elements on the left half that is larger than  $\alpha_k$
- Computing this is much easier if the two halves are sorted.



13 blue-green inversions

Total = 
$$5 + 8 + 13 = 26$$
.

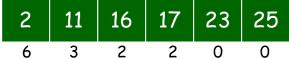
## **Counting Inversions: Combine**

#### Combine: count blue-green inversions

- Assume each half is sorted.
- Merge two sorted halves into sorted whole.
- Simultaneously, count inversions where  $a_i$  and  $a_k$  are in different halves.



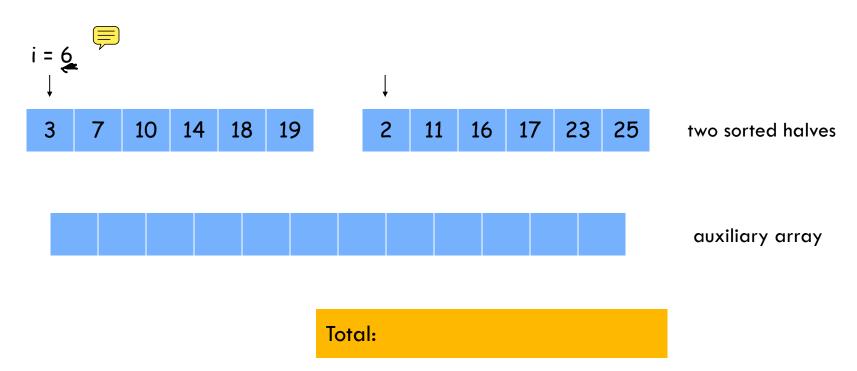
5 blue-blue inversions



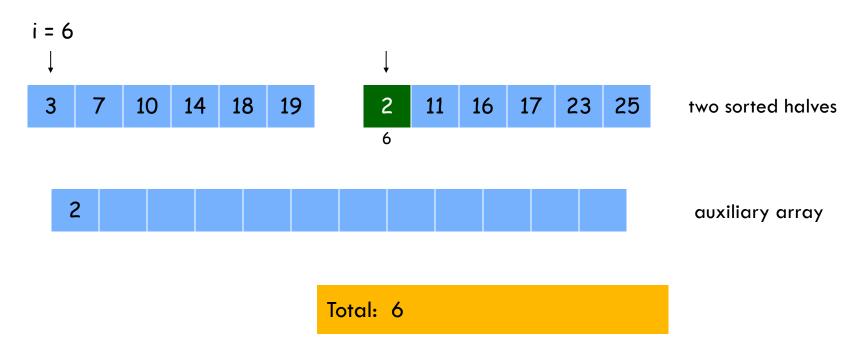
8 green-green inversions

How many blue-green inversions?

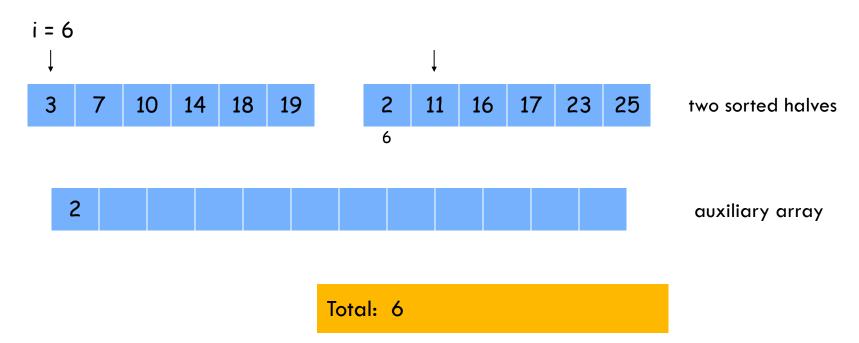
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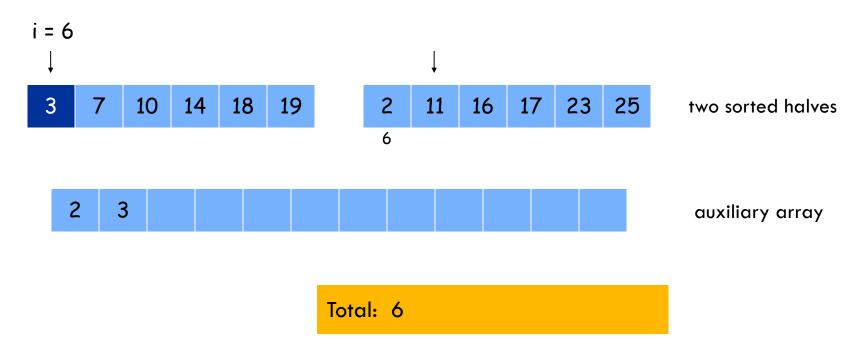
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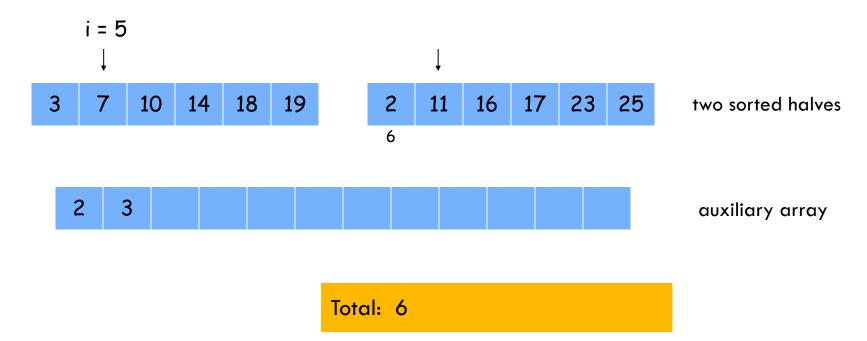
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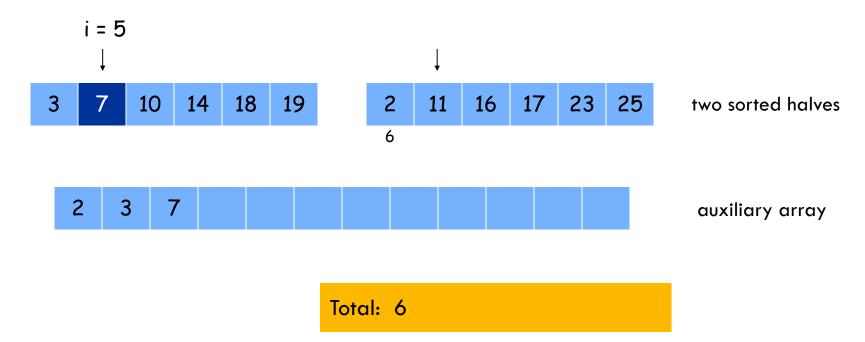
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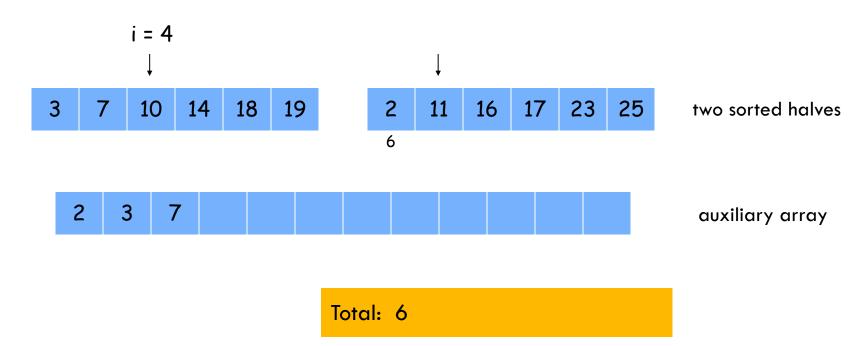
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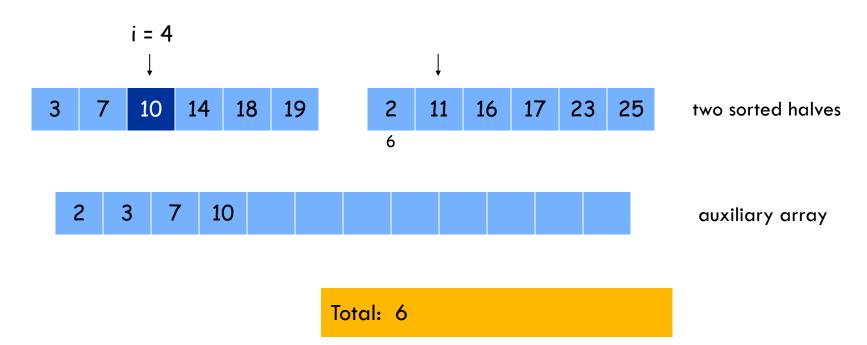
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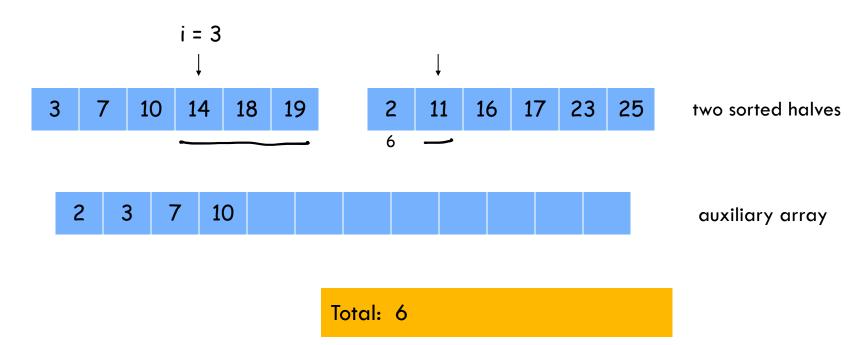
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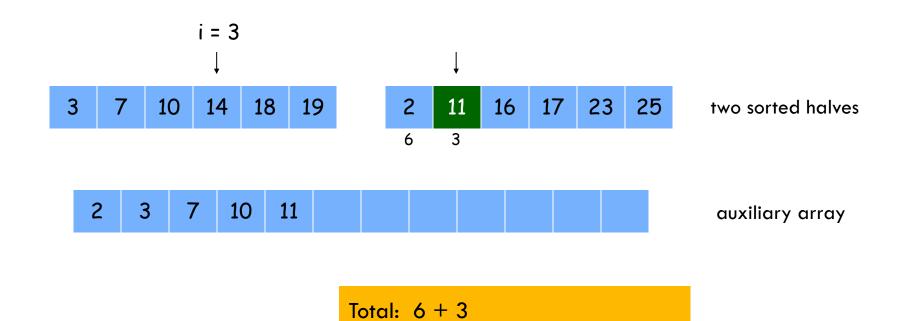
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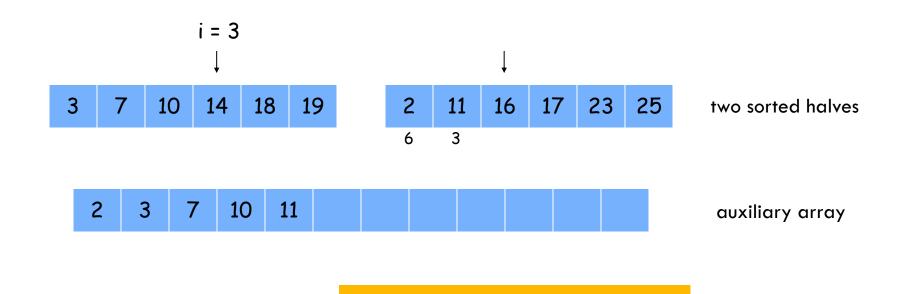
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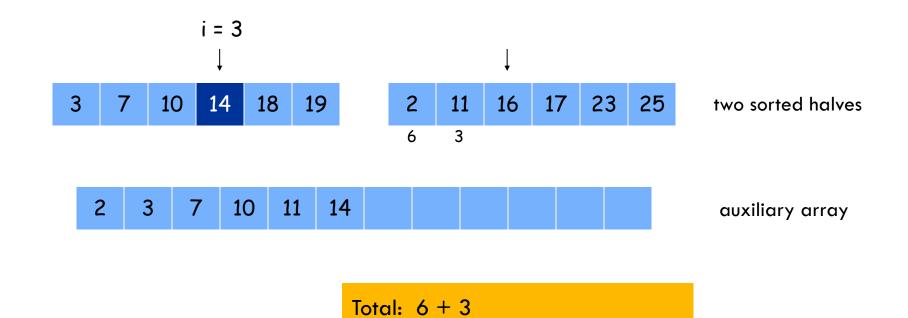
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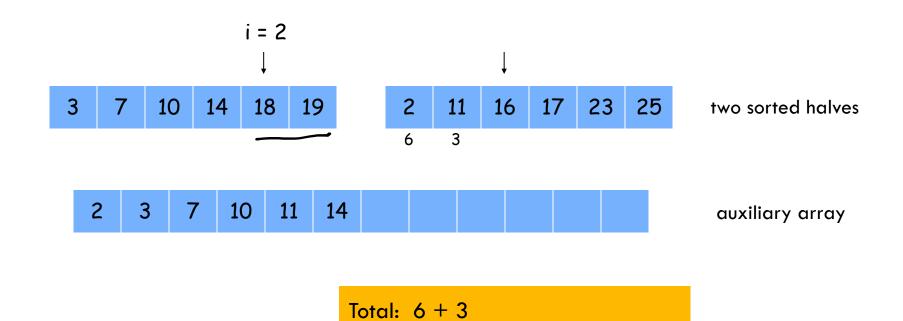
The University of Sydney

Total: 6+3

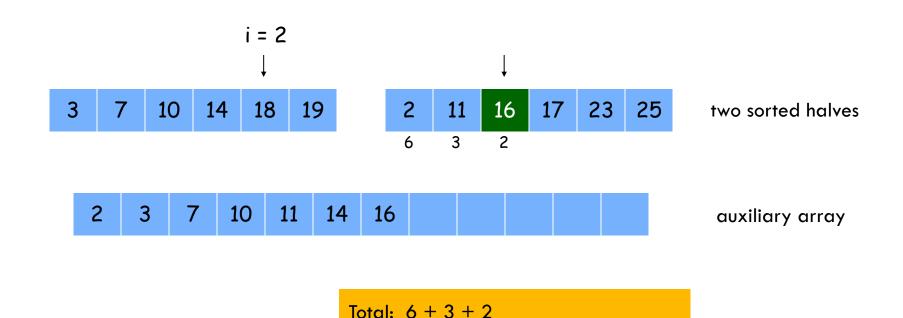
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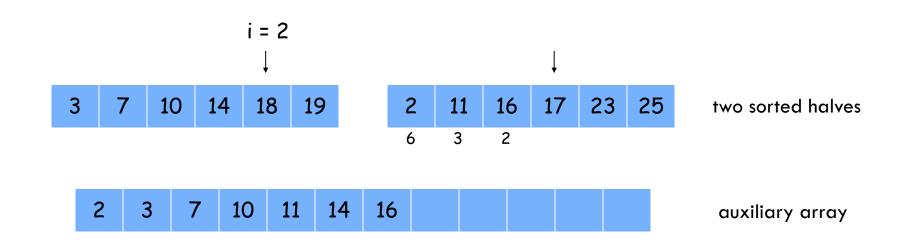
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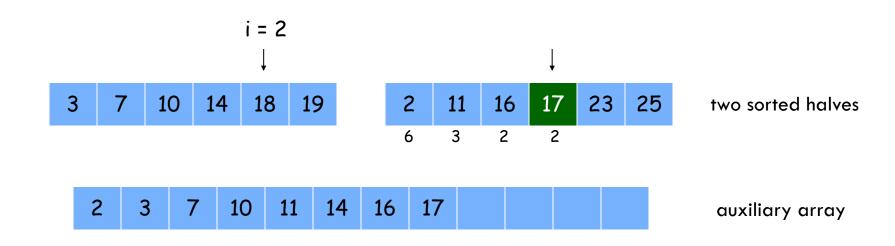


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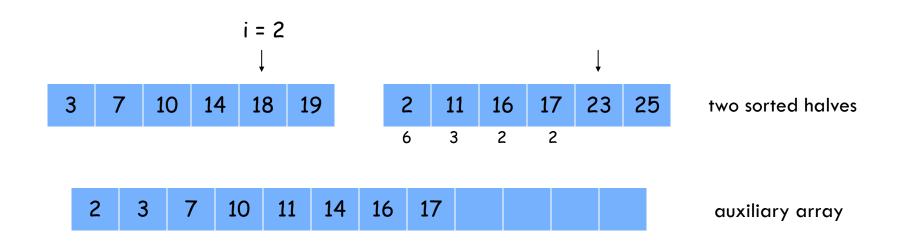
Total: 6 + 3 + 2

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  - Given two sorted halves, count number of inversions where  $a_i$  and  $a_k$  are in different halves.
  - Combine two sorted halves into sorted whole.



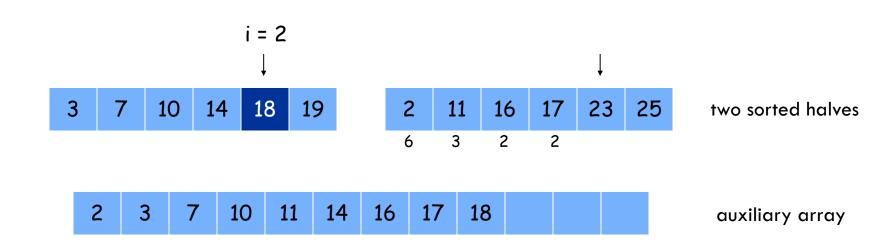
Total: 6 + 3 + 2 + 2

- Merge and count step.
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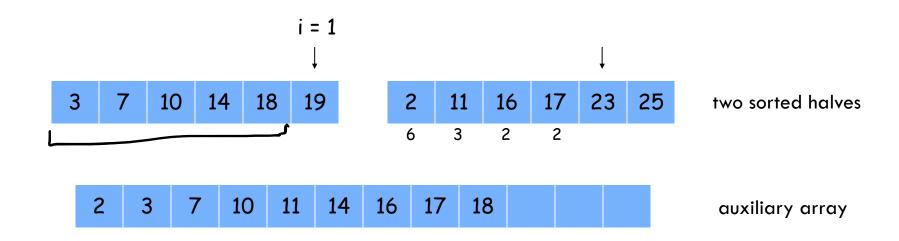
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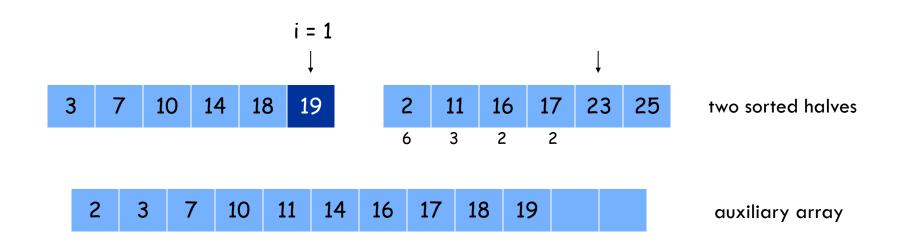
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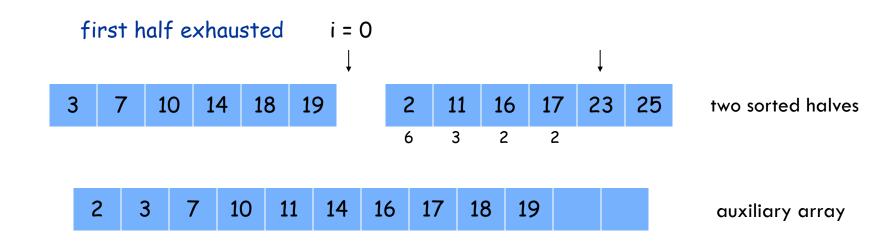
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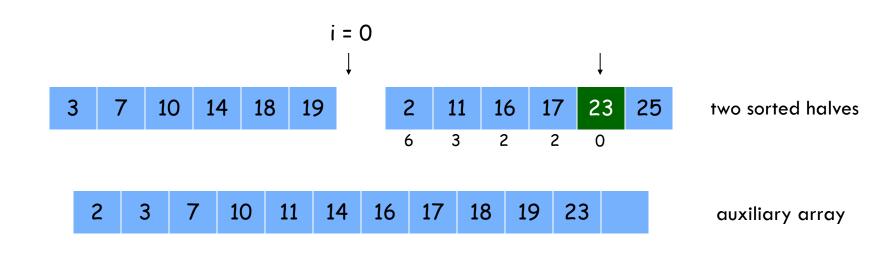
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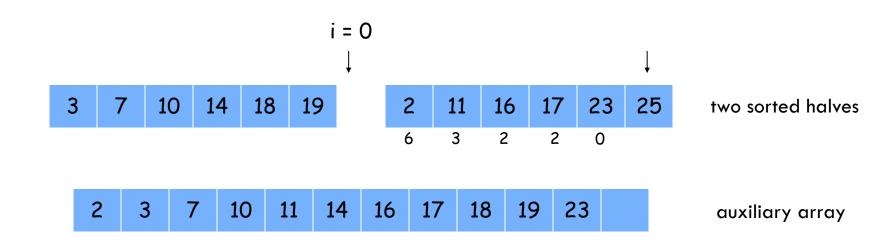
Total: 6 + 3 + 2 + 2

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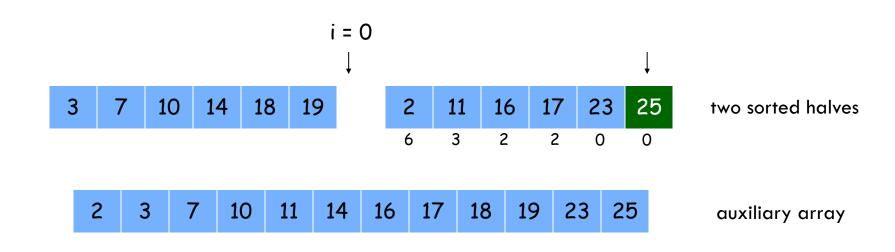
Total: 6 + 3 + 2 + 2 + 0

- Merge and count step.
  - Given two sorted halves, count number of inversions where  $a_i$  and  $a_k$  are in different halves.
  - Combine two sorted halves into sorted whole.



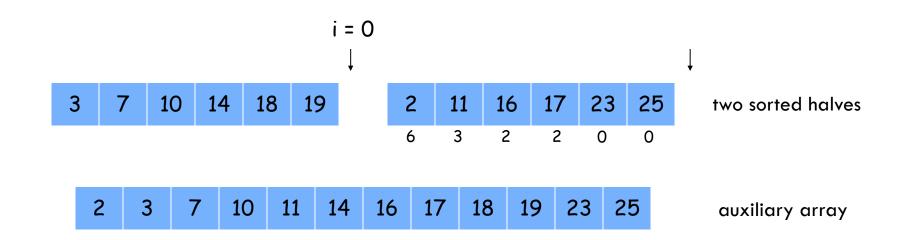
Total: 6 + 3 + 2 + 2 + 0

- Merge and count step.
  - Given two sorted halves, count number of inversions where  $a_i$  and  $a_k$  are in different halves.
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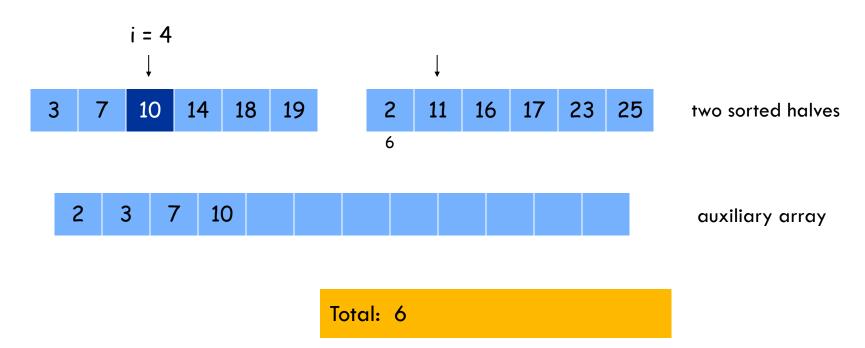
Total: 6 + 3 + 2 + 2 + 0 + 0

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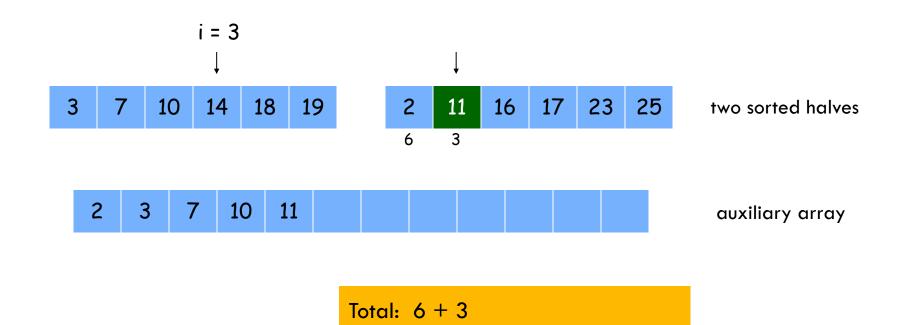
Total: 6 + 3 + 2 + 2 + 0 + 0 = 13

- Correctness.
  - When we place an element from left half in auxiliary array, it is smaller than remaining elements in right half



#### - Correctness.

- When we place an element from left half in auxiliary array, it is smaller than remaining elements in right half
- When we place element from right half in auxiliary array, it is larger than remaining elements in left half



# **Counting Inversions: Combine**

#### Combine: count blue-green inversions

- Assume each half is sorted.
- Count inversions where  $a_i$  and  $a_k$  are in different halves.
- Merge two sorted halves into sorted whole.



13 blue-green inversions: 6+3+2+2+0+0 Count: O(n)

2 3 7 10 11 14 16 17 18 19 23 25 Merge: O(n)

**Time:**  $T(n) = 2T(n/2) + O(n) = O(n \log n)$ 

## **Counting Inversions: Implementation**

- Pre-condition. [Merge-and-Count] A and B are sorted.
- Post-condition. [Sort-and-Count] L is sorted.

Useful strategy: Strengthen inductive hypothesis

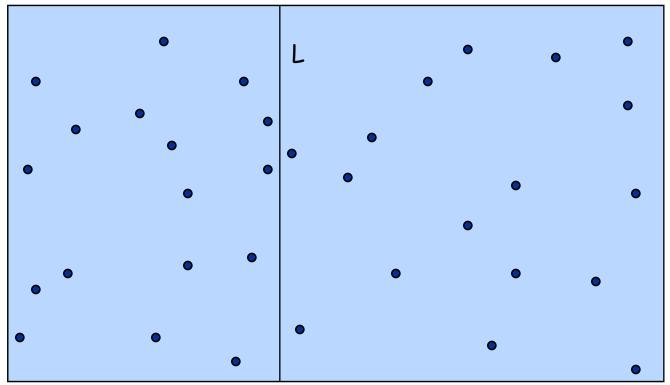


- Closest pair. Given n points in the plane, find a pair with smallest Euclidean distance between them.
- Fundamental geometric primitive.
  - Graphics, computer vision, geographic information systems, molecular modeling, air traffic control.
  - Special case of nearest neighbor, Euclidean MST, Voronoi diagram...
- Warm up 1: Brute force. Check all pairs of points p and q with  $\Theta(n^2)$  comparisons.
- Warm up 2: 1-D version. O(n log n) easy if points are on a line.



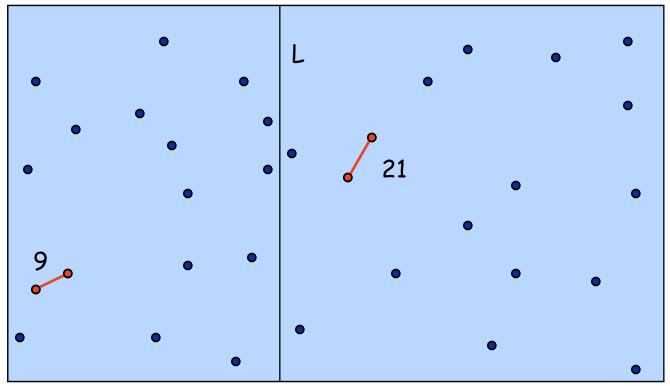
- Assumption. No two points have same x coordinate.

- Algorithm.
  - Divide: draw vertical line L so that exactly  $\frac{1}{2}$ n points on each side.

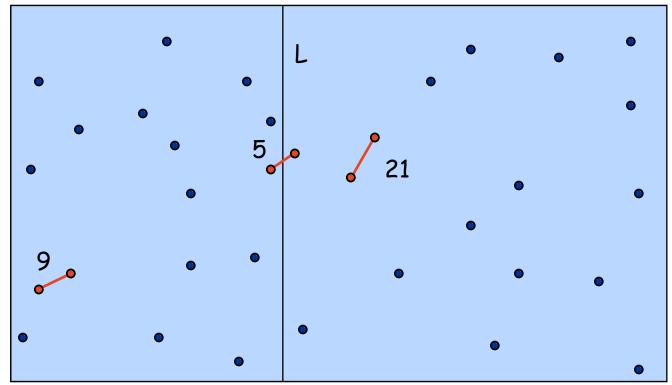


## - Algorithm.

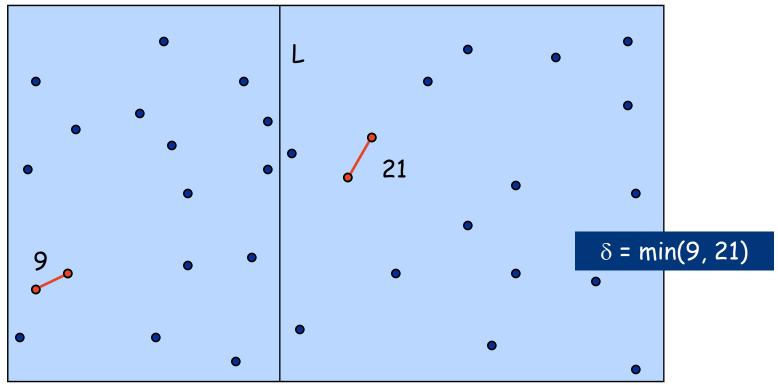
- Divide: draw vertical line L so that roughly  $\frac{1}{2}$ n points on each side.
- Conquer: find closest pair in each side recursively.



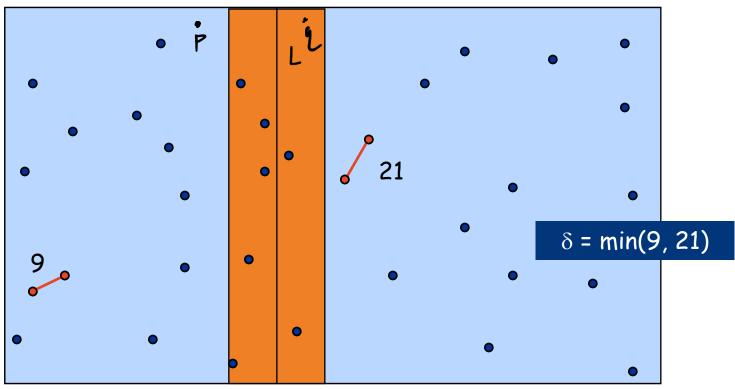
- Algorithm.
  - Divide: draw vertical line L so that roughly  $\frac{1}{2}$ n points on each side.
  - Conquer: find closest pair in each side recursively.
  - Combine:
    - find closest pair with one point in each side.
    - return best of 3 solutions.



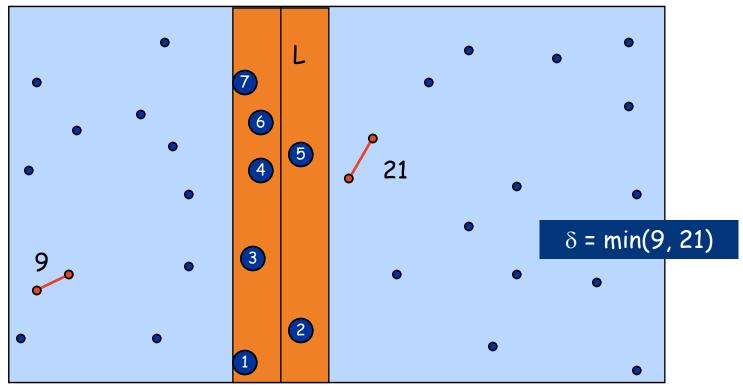
- Find closest pair with one point in each side, assuming that  $\delta = \min(\text{closest pair in left half, closest pair in right half})$ .



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  - **Observation:** only need to consider points within  $\delta$  of line L.

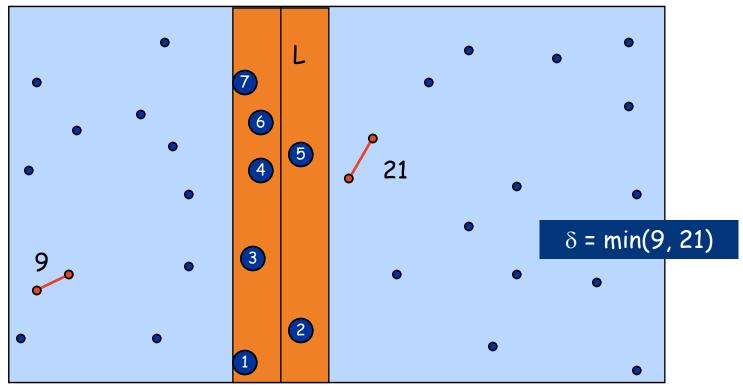


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  - **Observation:** only need to consider points within  $\delta$  of line L.
  - Sort points in  $2\delta$ -strip by their y-coordinate.



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- Find closest pair with one point in each side, assuming that  $\delta = \min(\text{closest pair in left half, closest pair in right half})$ .
  - Observation: only need to consider points within  $\delta$  of line L.
  - Sort points in  $2\delta$ -strip by their y coordinate.
  - Only check distances of those within 7 positions in sorted list!

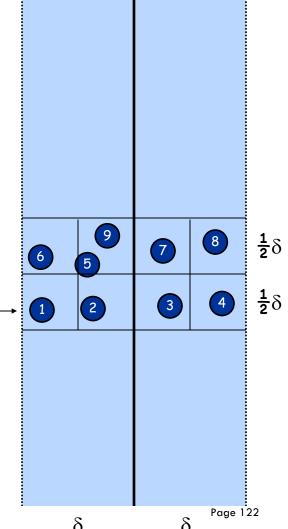


- **Definition:** Let  $s_i$  be the point in the  $2\delta$ -strip, with the  $i^{th}$  smallest y-coordinate  $y_i$ .

- Claim: For any 9 consecutive points  $s_i$ , ...,  $s_{i+8}$  in the ordering, the distance between  $s_i$  and  $s_k$  is  $> \delta$ . In fact,  $y_{i+8} - y_i > \delta$ .

#### - Proof:

- Suppose that  $y_{i+8} y_i \le \delta$ .
- Then  $s_{i},$  ...,  $s_{i+8}$  lie in a rectangle with width  $2\delta_{i}$  and height  $\delta.$
- Partition rectangle into 8 squares of width  $\delta/2$
- At least 2 of  $s_i$ , ...,  $s_{i+8}$  lie in same square.
- But 2 points in square of width  $\delta/2$  have distance  $< \delta!$
- Since each square completely in left or right side, this contradicts definition of  $\delta$

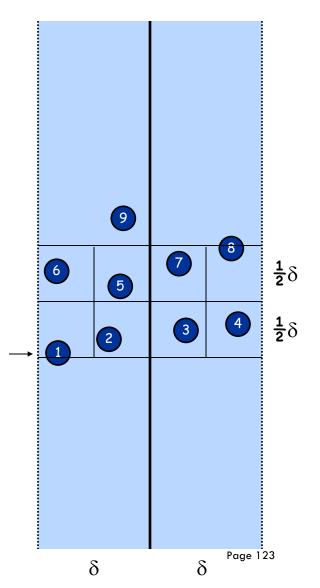


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#### Alternative Proof:

- Draw rectangle of height  $\delta$  and width  $2\delta$  such that  $\mathbf{s}_{\mathrm{i}}$  is on bottom edge of rectangle
- Divide rectangle into squares of width  $\delta$
- No two points lie in same square, by def of  $\delta$
- Thus, at most 8 points (including s<sub>i</sub>) can be in rectangle.
- So  $y_{i+8} y_i > \delta$



# **Closest Pair Algorithm**

```
Closest-Pair (p_1, ..., p_n) {
 If |P| \le 3 then compute closest-pair brute force
 else
   Compute separation line L such that half the points
                                                                       O(n \log n)
   are on one side and half on the other side.
   \delta_1 = Closest-Pair(left half)
                                                                       2T(n / 2)
   \delta_2 = Closest-Pair(right half)
   \delta = \min(\delta_1, \delta_2)
   Delete all points further than \delta from separation line L
                                                                       O(n)
   Sort remaining points by y-coordinate.
                                                                       O(n \log n)
   Scan points in y-order and compare distance between
                                                                       O(n)
   each point and next 7 neighbors. If any of these
   distances is less than \delta, update \delta.
 return \delta.
```

# Closest Pair of Points: Analysis

Running time

$$T(n) \leq 2T(n/2) + O(n \log n) \Rightarrow T(n) = O(n \log^2 n)$$

- Question: Can we achieve O(n log n)?
- **Answer:** Yes. Don't sort points in strip from scratch each time.
  - Each recursive returns two lists: all points sorted by y coordinate, and all points sorted by x coordinate.
  - Sort by merging two pre-sorted lists.

$$T(n) \le 2T(n/2) + O(n) \implies T(n) = O(n \log n)$$

```
Sort P by x-coordinates \Rightarrow P<sub>x</sub> \Rightarrow Py Sort P by y-coordinates \Rightarrow Py
                                       Closest-Pair (P_x, P_v) {
                                              If |P|≤ 3 then compute closest-pair brute force
                                              else
                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 O(1)
Compute separation line L

P_{x,left} = points to the left of L sorted by x-coordinate P_{y,left} = points to the left of L sorted by y-coordinate P_{x,right} = points to the right of L sorted by x-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of L sorted by y-coordinate P_{y,right} = points to the right of
                                                             Compute separation line L
                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               O(n)
                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 2T(n / 2)
  O(n)
                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 O(n)
                                              return \delta.
                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              Page 127
```

# **Summary: Divide-and-Conquer**

### Divide-and-conquer.

- Break up problem into several parts.
- Solve each part recursively.
- Combine solutions to sub-problems into overall solution.

#### Master theorem

#### Problems

This weeks quiz is all

- Maximum Contiguous Subarray about solving recurrences!
- Counting inversions
- Closest pair