

# Data Structures

Mengxi Wu (mw4355@nyu.edu)

September 27, 2020

## 1 Binary Search Tree

Binary Search Tree is a node-based binary tree data structure which has the following properties:  
The left subtree of a node contains only nodes with keys lesser than the node's key.  
The right subtree of a node contains only nodes with keys greater than the node's key.  
The left and right subtree each must also be a binary search tree.

## 2 AVL Tree

### AVL Tree Deletion

<http://www.mathcs.emory.edu/~cheung/Courses/323/Syllabus/Trees/AVL-delete.html>

## 3 Build Max Heap

We can use MAX-HEAPIFY in a bottom up manner to convert array  $A[1..n]$  into a max-heap, where  $n = A.length$ . First we need to prove a prerequisite:  $A[\lfloor \frac{n}{2} \rfloor + 1..n]$  are all leaf nodes. According to the parent and child index relation, the last element has child index  $\lfloor \frac{n}{2} \rfloor$ . Why not  $\lceil \frac{n}{2} \rceil$ ? When  $n$  is odd,  $\lceil \frac{n}{2} \rceil = \frac{n+1}{2}$ , its parent index exceeds  $n$ . From index  $\lfloor \frac{n}{2} \rfloor + 1$  to  $n$  are all leaves.

**Initialization:** Prior to the loop, for node with index  $\lfloor \frac{n}{2} \rfloor + 1, \lfloor \frac{n}{2} \rfloor + 2..n$ , the node is leaf so it is a trivial valid max-heap, which satisfy the input requirement of MAX-HEAPIFY.

**Maintenance:** The children of node  $i$  are larger than  $i$ . By the loop invariant, therefore, they are both roots of max-heaps. This is precisely the condition required for the call MAX-HEAPIFY( $A, i$ ) to make node  $i$  a max-heap root. Moreover, the MAX-HEAPIFY call preserves the property that nodes  $i+1, i+2..n$  are all roots of max-heaps. Decrementing  $i$  in the for loop update reestablishes the loop invariant for the next iteration.

**Termination:** At termination,  $i = 0$ . By the loop invariant, each node  $1, 2..n$  is the root of a max-heap.

The runtime for step 1 is  $O(1)$ . For a loose upper bound, the for iteration happens  $\lfloor \frac{n}{2} \rfloor$  times and each time calls MAX-HEAPIFY once. MAX-HEAPIFY takes  $O(\log n)$ . Thus, a loose upper bound is  $O(n \log n)$ . However, we can do better. Our tighter analysis relies on the properties that an  $n$ -element heap has height  $\lfloor \log n \rfloor$  and at most  $\lceil \frac{n}{2^{h+1}} \rceil$  nodes at height  $h$ . The second fact can be proved by induction. Let  $n_h$  denote the number of nodes at height  $h$ . When  $h = 0$ , from previous proof, we know nodes from index  $\lfloor \frac{n}{2} \rfloor + 1$  to  $n$  are leaves. Thus, at  $h = 0$ , we have  $n_0 = \lfloor \frac{n}{2} \rfloor$  nodes. The base case holds. Suppose it holds for  $h$ . We know nodes at height  $h$  is the children of node at height  $h+1$ . if  $n_h$  is even,  $n_{h+1} = \frac{n_h}{2} = \lceil \frac{n_h}{2} \rceil$ . If  $n_h$  is odd,  $n_{h+1} = \lfloor \frac{n_h}{2} \rfloor + 1 = \lceil \frac{n_h}{2} \rceil$ .

$$n_{h+1} = \lceil \frac{n_h}{2} \rceil \leq \lceil \frac{1}{2} \cdot \lceil \frac{n}{2^{h+1}} \rceil \rceil = \lceil \frac{n}{2^{h+2}} \rceil$$

. Thus, we can have,

$$T(n) = \sum_{h=1}^{\lfloor \log n \rfloor} \lceil \frac{n}{2^{h+1}} \rceil \cdot O(h) \leq \sum_{h=1}^{\lfloor \log n \rfloor} \frac{n}{2^h} \cdot O(h)$$

$$T(n) = O(n \cdot \sum_{h=1}^{\lfloor \log n \rfloor} \frac{h}{2^h}) = O(n \cdot \sum_{h=0}^{\infty} \frac{h}{2^h})$$

$$\sum_{h=0}^{\infty} \frac{h}{2^h} = \frac{\frac{1}{2}}{(1 - \frac{1}{2})^2} = 2$$

Therefore, the tighter bound for BUILD-MAX-HEAP is  $T(n) = O(2n) = O(n)$ .

## 4 Heap Sort

The heapsort algorithm starts by using BUILD-MAX-HEAP to build a max-heap on the input array  $A[1..n]$ , where  $n = A.length$ . Since the maximum element of the array is stored at the root  $A[1]$ , we can put it into its correct final position by exchanging it with  $A[n]$ . Then, we discard  $n$ th node from the heap since it is at the right position. We can do so by simply decrementing  $A.heap-size-1$ . The new root might violate the max-heap property though its children remain the max-heap, so we can call MAX-HEAPIFY( $A, 1$ ), which makes a  $A[1..n-1]$  a valid max-heap. The heapsort algorithm then repeats this process for the max-heap of size  $n-1$  down to a heap of size 2. BUILD-MAX-HEAP takes  $O(n)$ . The for iterations take  $n-1$  times and each time calls MAX-HEAPIFY. Thus, the runtime  $T(n) = O(n) + O(n \log n) = O(n \log n)$ .

## 5 Priority Queue

A priority queue is a data structure for maintaining a set  $S$  of elements, each with an associated value called a key. A max-priority queue supports the following operations:

**INSERT( $S, x$ ):** inserts the element  $x$  into the set  $S$

**MAXIMUM( $S$ ):** returns the element of  $S$  with the largest key

**EXTRACT-MAX( $S$ ):** removes and returns the element of  $S$  with the largest key

**INCREASE-KEY( $S, x, k$ ):** increases the value of element  $x$ 's key to the new value  $k$

The runtime for HEAP-MAXIMUM is  $O(1)$ .

Swap the first (largest element) with the element at the end of the array. Then decrementing the heap-size. The call MAX-HEAPIFY to keep the heap property. The running time of HEAP-EXTRACT-MAX is  $O(\log n)$ , since it performs only a constant amount of work on top of the  $O(\log n)$  for MAX-HEAPIFY.

The procedure first updates the key of element  $A[i]$  to its new value. Because increasing the key of  $A[i]$  might violate the max-heap property. Then, we compare  $A[i]$  with its parent to check whether violate. If it violates, swap the key of parent with  $A[i]$  and update  $i$  until we find a proper place for the new key. The running time of HEAP-INCREASE-KEY on an  $n$ -element heap is  $O(\log n)$ , since the path traced from the node updated in line 3 to the root has length  $O(\log n)$ .

The running time of MAX-HEAP-INSERT on an  $n$ -element heap is  $O(\log n)$ .