

Binary Heaps: Homework

- Implement the array-based representation of binary heap together with the functions `HEAP_MIN`, `REMOVE_MIN`, `HEAPIFY`, `BUILD_HEAP`, `DECREASE_KEY`, and `INSERT_VALUE`.

The solution can be found in the file `binheap.c` in the folder [Binary_heaps](#), with the corresponding names `min_value`, `extract_min`, `heapify`, `build_heap`, `decrease_key` and `insert_value`. The functions `is_heap_empty`, `swap_keys`, `find_the_max`, `delete_heap`, and `print_heap` are also added.

- Implement an iterative version of `HEAPIFY`.

The solution can be found in the function `heapify`, contained in the file `binheap.c` in the folder [Binary_heaps](#).

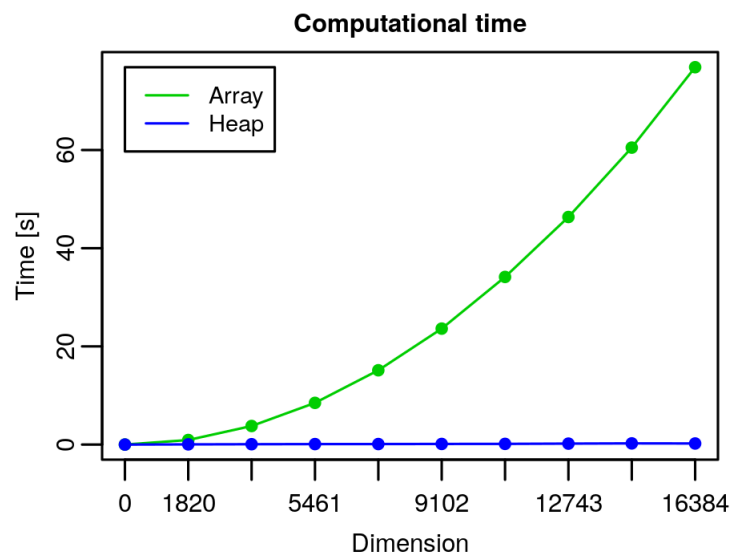
- Test the implementation on a set of instances of the problem and evaluate the execution time.

After running the program `test_delet_min`, contained in the folder [Binary_heaps/tests](#), the following output was generated:

```
$ ./test_delete_min

n      On Heaps      On Arrays
0       0.000014     0.000005
1820    0.039135     0.931853
3640    0.070701     3.782944
5461    0.098816     8.491803
7281    0.105832    15.135461
9102    0.124539    23.618608
10922   0.139834    34.143487
12743   0.193662    46.353465
14563   0.239347    60.489976
16384   0.219621    76.866161
```

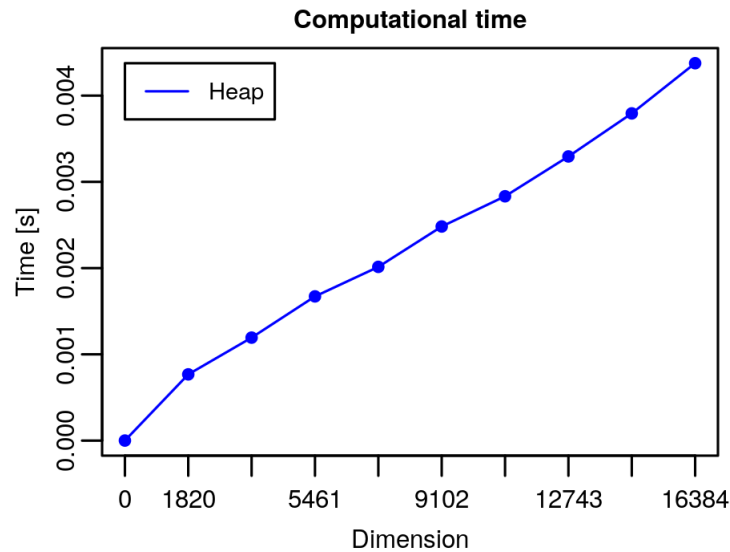
In the following graph we can see the execution time of the program `test_delet_min`:



We can clearly see that the implementation that uses heaps instead of arrays is much much more efficient.

We have that for the heaps the time of extraction is $O(\log n)$: replacing the root's key costs $\Theta(1)$ and the total cost of **HEAPIFY** is the height of the heap, $O(\log n)$, so deleting the minimum with the heaps costs $O(\log n)$. However, in this plot it is hard to see.

In the following graph we can better see the execution time using the heaps:



Here we can see a bit better the logarithmic trend of the program.

- (Ex. 6.1-7 in [1]) Show that, with the array representation, the leaves of a binary heap containing n nodes are indexed by $\lfloor n/2 \rfloor + 1, \lfloor n/2 \rfloor + 2, \dots, n$.

Let us consider a binary heap containing n nodes. Since the children of a node i are the nodes $2i$ (the left child) and $2i + 1$ (the right child), we have that the "last" parent, meaning the right-most parent in the second-last level, can at most be the node $\lfloor n/2 \rfloor$. That is because if we suppose that $\lfloor n/2 \rfloor + 1$ is a parent node, then its children are the nodes $2(\lfloor n/2 \rfloor + 1)$ and $2(\lfloor n/2 \rfloor + 1) + 1$, but the left child would be

$$2 \cdot (\lfloor n/2 \rfloor + 1) = 2 \cdot \lfloor n/2 \rfloor + 2 = \begin{cases} 2 \cdot n/2 + 2 & n \text{ even} \\ 2 \cdot (n-1)/2 + 2 & n \text{ odd} \end{cases} = \begin{cases} n + 2 & n \text{ even} \\ n + 1 & n \text{ odd} \end{cases}$$

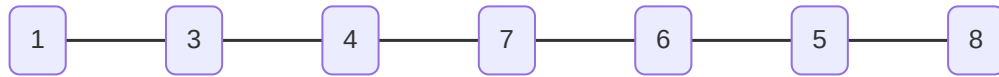
that is out of the boundary of the array, that is impossible. So all the nodes after the node $\lfloor n/2 \rfloor$ must be leaves. Then we have the proof that the nodes $\lfloor n/2 \rfloor + 1, \lfloor n/2 \rfloor + 2, \dots, n$ are leaves.

- (Ex. 6.2-6 in [1]) Show that the worst-case running time of **HEAPIFY** on a binary heap of size n is $\Omega(\log n)$.

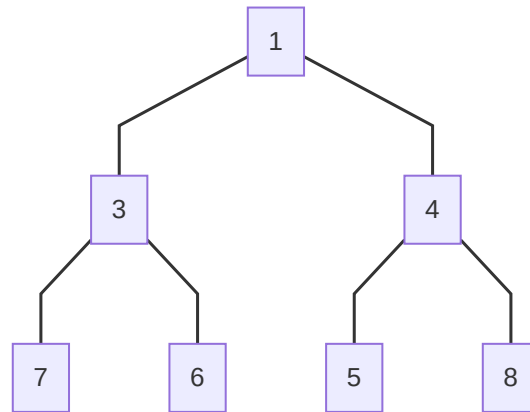
(Hint: For a heap with n nodes, give node values that cause **HEAPIFY** to be called recursively at every node on a simple path from the root down to a leaf.)

Let us consider a binary heap of size n . Since a simple path from the root down to a leaf is the height of the tree h , we have to estimate h in terms of n . In a binary tree the root has 2 children at depth 1, each of which has 2 children at depth 2, etc. Thus, the number of nodes (\equiv leaves) at depth h is 2^h . Consequently, the height of a complete binary tree with m leaves, which is the length of the simple path from the root to a leaf, is $\log_2 m$. Since the number of leaves in a complete binary tree is $(n+1)/2$ (n is always odd in a complete binary tree and the number of leaves is $\lceil n/2 \rceil$, as seen in the following exercise), we have that the height is $\log_2 (n+1)/2 = \log_2 (n+1) - \log_2 2 = \log_2 (n+1) - 1$. So in the worst case, if **HEAPIFY** is called for all the height of the tree, it is called $\Omega(\log n)$ times.

For example, with the following array in a Min_heap, when the minimum is deleted **HEAPIFY** is called recursively at every node on a simple path from the root down to a leaf:



that corresponds to the tree



- (Ex. 6.3-3 in [1]) Show that there are at most $\lceil n/2^{h+1} \rceil$ nodes of height h in any n -element binary heap.

The height of a node in a tree is the number of edges on the longest simple downward path from the node to a leaf, and the height of a tree is the height of its root. The height of a tree is also equal to the largest depth of any node in the tree.

Let us consider a n -element binary heap with height h . We have that the height of the root is h and the height of the children of the root is $h - 1$, while the height of a leaf is 0 and the height of the parents of the leaves is 1.

Since all the nodes after $\lfloor n/2 \rfloor$ are leaves, we have $\lfloor n/2 \rfloor$ leaves, so we have $\lceil n/2^{0+1} \rceil$ nodes at height 0. We have a binary heap, so we have a binary tree, thus the number of parents of the leaves will be half the number of the leaves, so we will have $\lceil (n/2)/2 \rceil = \lceil n/4 \rceil = \lceil n/2^{1+1} \rceil$ nodes at height 1. Let's assume that we have $\lceil n/2^{(i-1)+1} \rceil = \lceil n/2^i \rceil$ nodes at height $i - 1$, their parents will be half of them, so they will be $\lceil (n/2^i)/2 \rceil = \lceil n/2^{i+1} \rceil$, so we have $\lceil n/2^{i+1} \rceil$ nodes at height i . So by induction we have $\lceil n/2^{h+1} \rceil$ nodes at height h , and we have proved our thesis. Besides, the root is at height $h = \log_2 n$, so we have $\lceil n/2^{\log_2 n + 1} \rceil = \lceil n/2n \rceil = \lceil 0, \dots \rceil = 1$ node at height h .

References

[1] T.H. Cormen, C.E. Leiserson, R.L. Rivest, and C. Stein. *Introduction to Algorithms*. The MIT Press. MIT Press, 2009.