# CS101 Data Structure

Heaps and Priority Queues
Textbook Ch 6

### Outline

- Priority queue
- Binary heap
- Heapsort

### Outline

### This topic will:

- Review queues
- Discuss the concept of priority and priority queues
- Look at two simple implementations:
  - Arrays of queues
  - AVL trees
- Introduce heaps, an alternative tree structure which has better run-time characteristics

### Background

We have discussed Abstract Lists with explicit linear orders

Arrays, linked lists, strings

We saw three cases which restricted the operations:

Stacks, queues, deques

Following this, we looked at search trees for storing implicit linear orders: Abstract Sorted Lists

- Run times were generally  $\Theta(\ln(n))$ 

We will now look at a restriction on an implicit linear ordering:

- Priority queues

### **Definition**

#### Queues

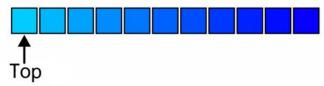
The order may be summarized by first in, first out

#### Priority queues

- Each object is associated with a priority
  - The value 0 has the highest priority, and
  - The higher the number, the lower the priority
- We pop the object which has the highest priority

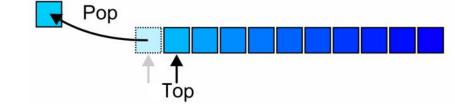
### **Operations**

The top of a priority queue is the object with highest priority

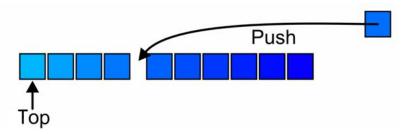


Popping from a priority queue removes the current highest priority

object:



Push places a new object into the appropriate place



## Lexicographical Priority

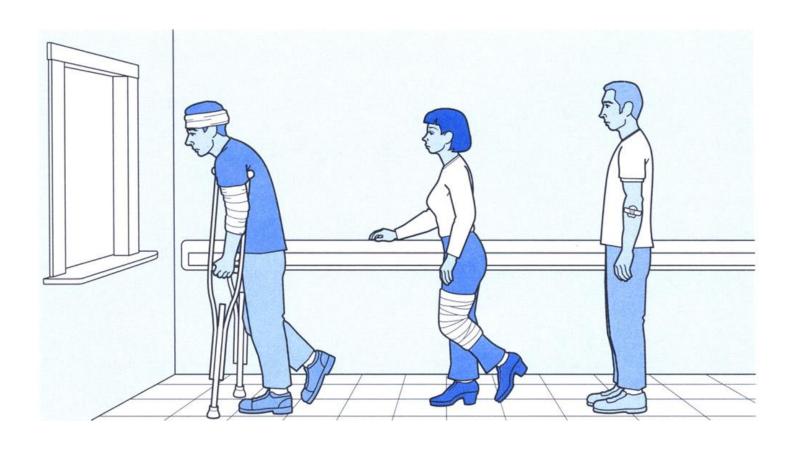
### Priority may also depend on multiple variables:

- Two values specify a priority: (a, b)
- A pair (a, b) has higher priority than (c, d) if:
  - a < c, or
  - a = c and b < d

#### For example,

- (5, 19), (13, 1), (13, 24), and (15, 0) all have *higher* priority than (15, 7)

# Application



## **Application**

### Process priority in operation systems

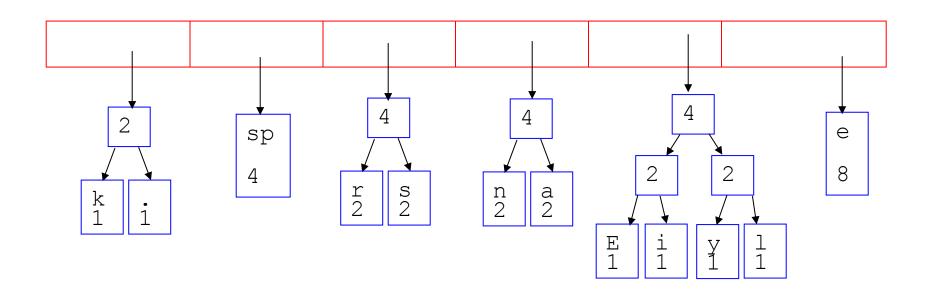
In Unix, you may set the priority of a process, e.g.,

% nice +15 ./a.out

reduces the priority of the execution of the routine a.out by 15

## **Application**

We will see later how priority queue is used in Huffman coding.



### **Implementations**

Our goal is to make the run time of each operation as close to  $\Theta(1)$  as possible

We will look at an implementation using a data structure we already know:

Multiple queues — one for each priority

Then we will introduce a more appropriate data structure: heap

Assume there is a fixed number of priorities, say M

- Create an array of M queues
- Push a new object onto the queue corresponding to the priority
- Top and pop find the first non-empty queue with highest priority

```
template <typename Type, int M>
class Multiqueue {
  private:
     queue<Type> queue_array[M];
     int queue_size;
  public:
     Multiqueue();
     bool empty() const;
     Type top() const;
     void push( Type const &, int );
     Type pop();
};
template <typename Type, int M>
Multiqueue<Type>::Multiqueue():
queue_size(0){
  // The compiler allocates memory for the M queues
  // and calls the constructor on each of them
}
template <typename Type, int M>
bool Multiqueue<Type>::empty() const{
  return ( queue_size == 0 );
```

```
template <typename Type, int M>
void Multiqueue<Type>::push( Type const &obj, int pri ) {
   if (pri < 0 \parallel pri >= M) {
      throw illegal_argument();
   queue_array[pri].push( obj );
   ++queue_size;
template <typename Type, int M>
Type Multiqueue<Type>::top() const {
   for ( int pri = 0; pri < M; ++pri ) {
      if ( !queue_array[pri].empty() ) {
        return queue_array[pri].front();
   // The priority queue is empty
   throw underflow();
```

#### The run times are reasonable:

- Push is  $\Theta(1)$
- Top and pop are both O(M)

#### Problems:

- It restricts the range of priorities
- The memory requirement is  $\Theta(M+n)$

### **AVL Trees**

We could simply insert the objects into an AVL tree where the order is given by the stated priority:

```
- Insertion is \Theta(\ln(n)) void insert( Type const & );
```

- Top is  $\Theta(\ln(n))$  Type front();
- Remove is  $\Theta(\ln(n))$  bool remove( front() );

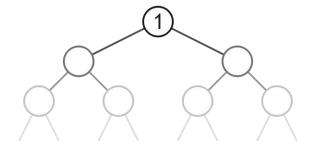
There is significant overhead for maintaining both the tree and the corresponding balance

### Heaps

#### Can we do better?

### We need a heap

- A tree with the top object at the root
- We will look at binary heaps
- Numerous other heaps exists:
  - *d*-ary heaps
  - Leftist heaps
  - Skew heaps
  - Binomial heaps
  - Fibonacci heaps
  - Bi-parental heaps



## Summary

### This topic:

- Introduced priority queues
- Considered two obvious implementations:
  - Arrays of queues
  - AVL trees
- Discussed the run times and claimed that a variation of a tree, a heap, can do better

### References

Cormen, Leiserson, Rivest and Stein, *Introduction to Algorithms*, The MIT Press, 2001, §6.5, pp.138-44.

Mark A. Weiss, Data Structures and Algorithm Analysis in C++, 3<sup>rd</sup> Ed., Addison Wesley, 2006, Ch.6, p.213.

Joh Kleinberg and Eva Tardos, Algorithm Design, Pearson, 2006, §2.5, pp.57-65.

Elliot B. Koffman and Paul A.T. Wolfgang, Objects, Abstractions, Data Structures and Design using C++, Wiley, 2006, §8.5, pp.489-96

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### Outline

- Priority queue
- Binary heap
- Heapsort

### Outline

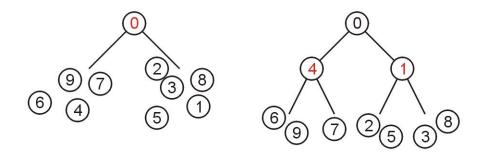
#### In this topic, we will:

- Define a binary min-heap
- Look at some examples
- Operations on heaps:
  - Top
  - Pop
  - Push
- An array representation of heaps
- Define a binary max-heap
- Using binary heaps as priority queues

### **Definition**

A non-empty tree is a min-heap if

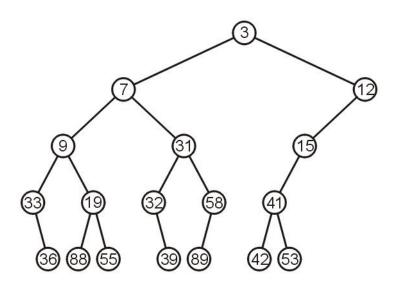
- The key associated with the root is less than or equal to the keys associated with the sub-trees (if any)
- The sub-trees (if any) are also min-heaps



There is no other relationship between the elements in the subtrees!

## Example

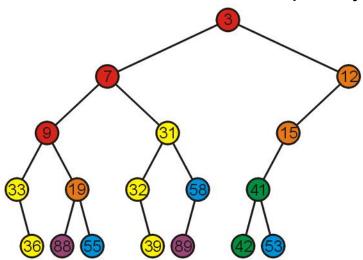
This is a (naive) binary min-heap:



### Example

### Adding colour, we observe

- The left subtree has the smallest (7) and the largest (89) objects
- No relationship between items with similar priority



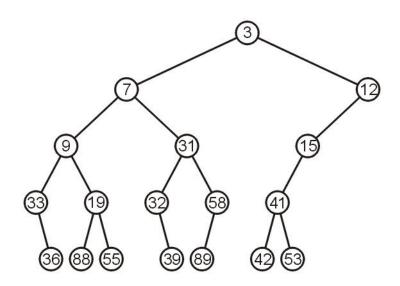
## Operations

We will consider three operations:

- Тор
- Pop
- Push

## Example

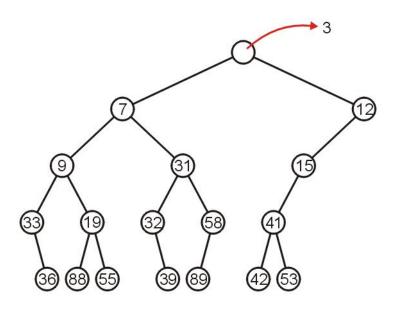
We can find the top object in  $\Theta(1)$  time: 3



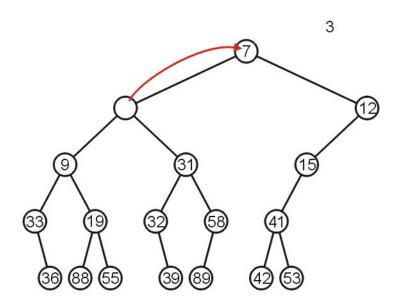
### To remove the minimum object:

- Promote the node of the sub-tree which has the least value
- Recursively process the sub-tree from which we promoted the least value

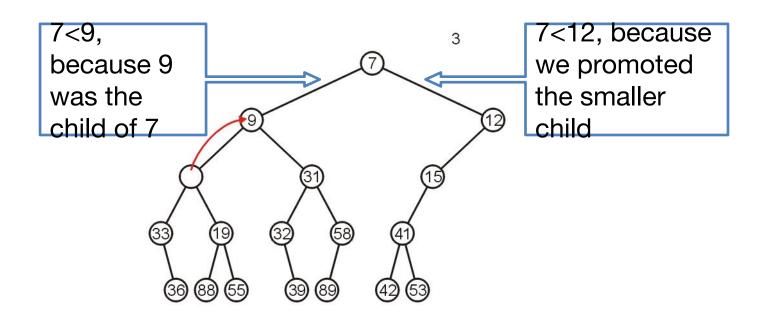
Using our example, we remove 3:



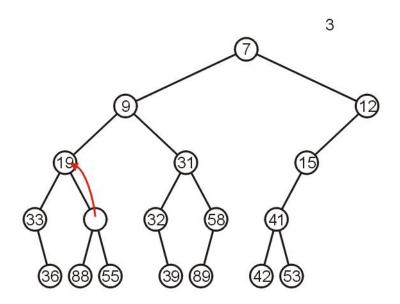
We promote 7 (the minimum of 7 and 12) to the root:



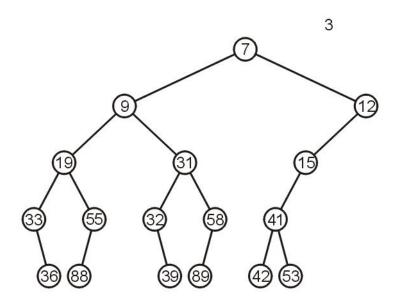
In the left sub-tree, we promote 9:



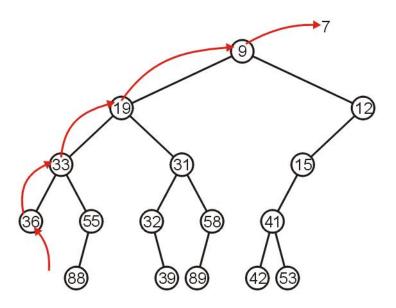
Recursively, we promote 19:



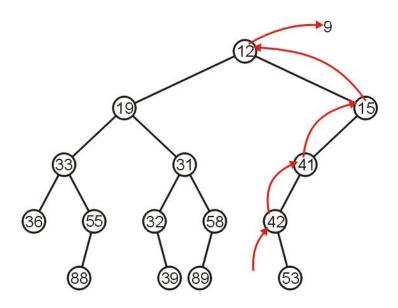
Finally, 55 is a leaf node, so we promote it and delete the leaf



Repeating this operation again, we can remove 7:



If we remove 9, we must now promote from the right sub-tree:



### Push

Inserting into a heap may be done either:

- At a leaf (move it up if it is smaller than the parent)
- At the root (insert the larger object into one of the subtrees)

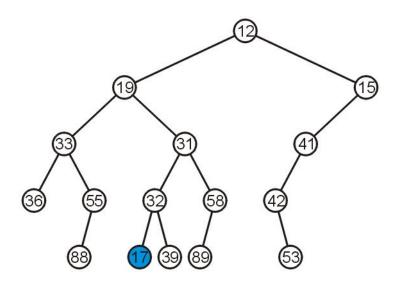
We will use the first approach with binary heaps

Other heaps use the second

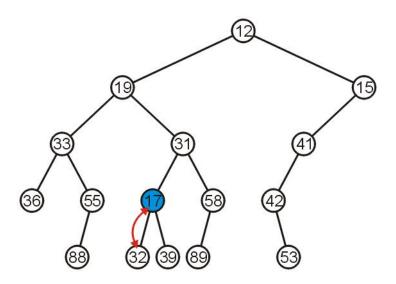
### Push

### Inserting 17 into the last heap

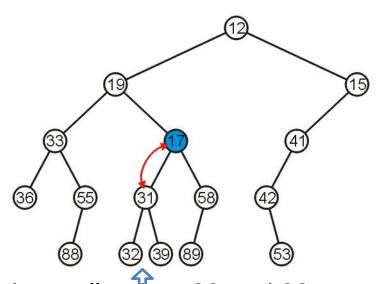
Select an arbitrary node to insert a new leaf node:



The node 17 is less than the node 32, so we swap them

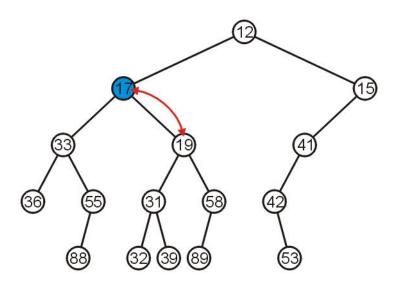


The node 17 is less than the node 31; swap them

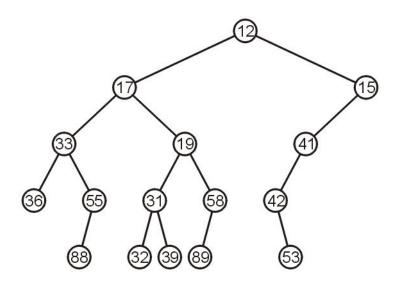


31 is smaller than 32 and 39 because 31 was the ancestor of 32 and 39

The node 17 is less than the node 19; swap them



The node 17 is greater than 12 so we are finished



This process is called *percolation*, that is, the lighter (smaller) objects move up from the bottom of the min-heap

### **Implementations**

With binary search trees, we introduced the concept of balance

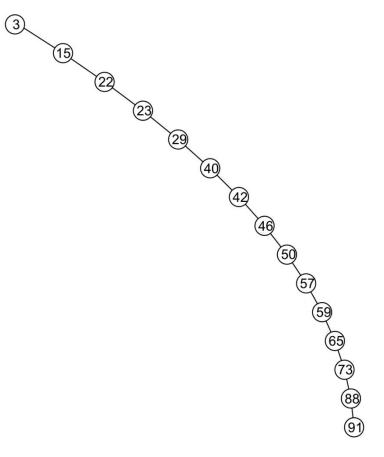
From this, we looked at:

- AVL Trees
- B-Trees
- Red-black Trees (not course material)

How can we determine where to insert so as to keep balance?

### Time Complexity

- Time complexity of pop and push?
  - O(n)
  - Worst case: the binary tree is highly unbalanced
- Can we do better?
  - Keep balance of the binary tree



#### Balance

There are multiple means of keeping balance with binary heaps:

- Complete binary trees
- Leftist heaps
- Skew heaps

This defines the actual "binary heap"

We will look at using complete binary trees

It has optimal memory characteristics but sub-optimal run-time characteristics

### Complete Trees

By using complete binary trees, we will be able to maintain, with minimal effort, the complete tree structure

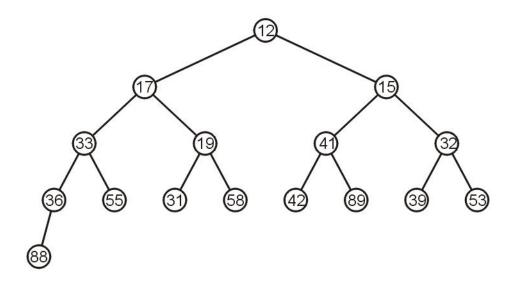
We have already seen

It is easy to store a complete tree as an array

If we can store a heap of size n as an array of size  $\Theta(n)$ , this would be great!

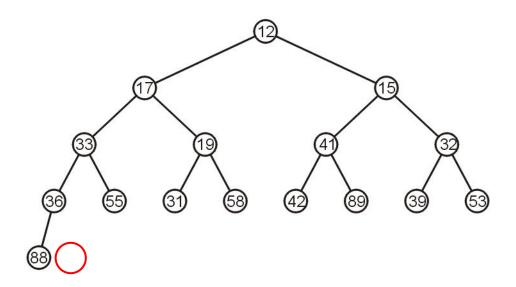
### Complete Trees

For example, the previous heap may be represented as the following (non-unique!) complete tree:



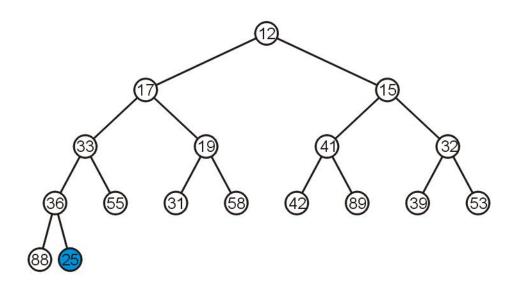
### Complete Trees: Push

If we insert into a complete tree, we need only place the new node as a leaf node in the appropriate location and percolate up



# Complete Trees: Push

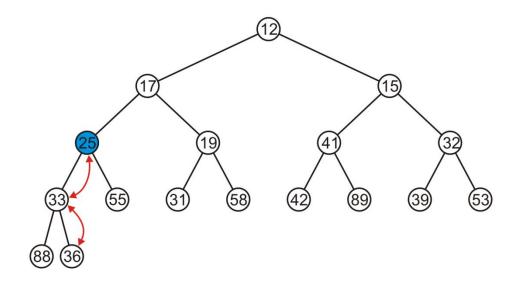
For example, push 25:



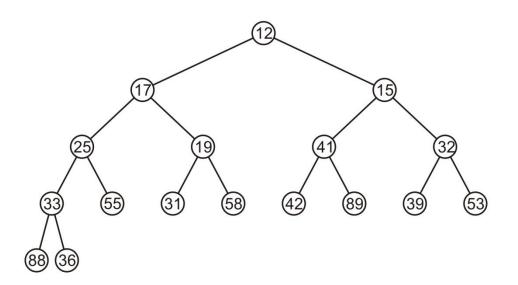
### Complete Trees: Push

We have to percolate 25 up into its appropriate location

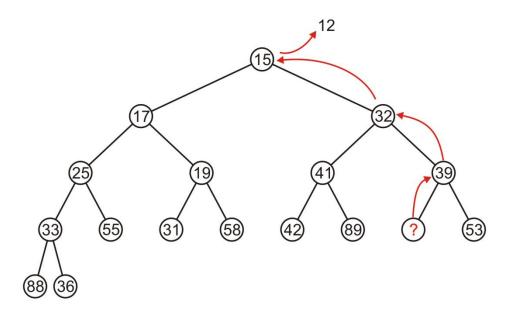
The resulting heap is still a complete tree



Suppose we want to pop the top entry: 12

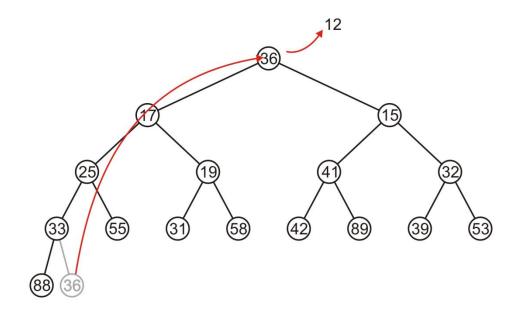


Percolating up creates a hole leading to a non-complete tree



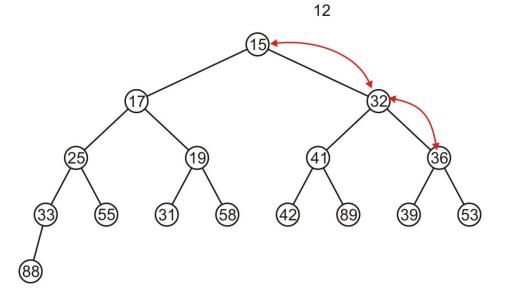
What's wrong?

Instead, copy the last entry in the heap to the root

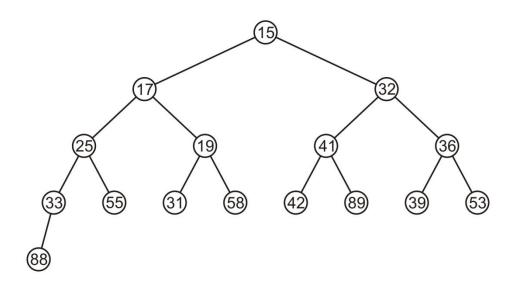


Now, percolate 36 down swapping it with the smallest of its children

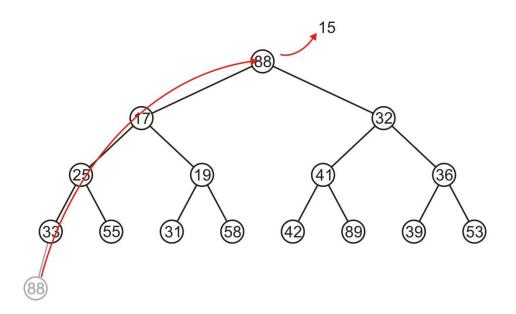
We halt when both children are larger



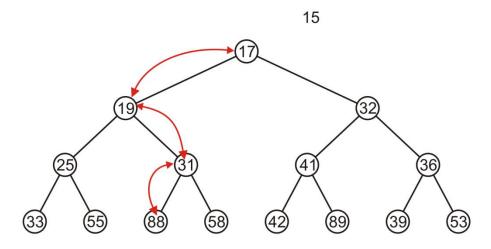
The resulting tree is now still a complete tree:



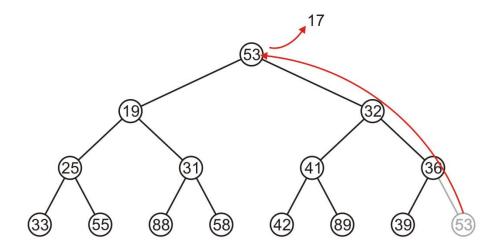
Again, popping 15, copy up the last entry: 88



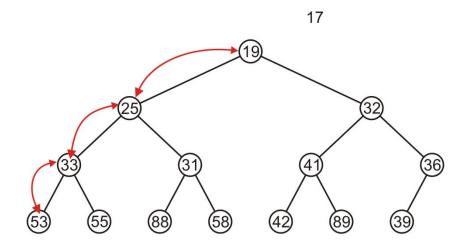
This time, it gets percolated down to the point where it has no children



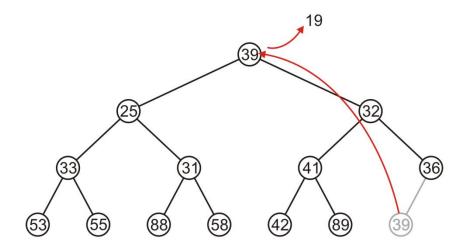
In popping 17, 53 is moved to the top



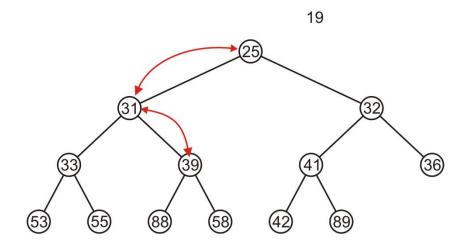
And percolated down, again to the deepest level



Popping 19 copies up 39



Which is then percolated down to the second deepest level



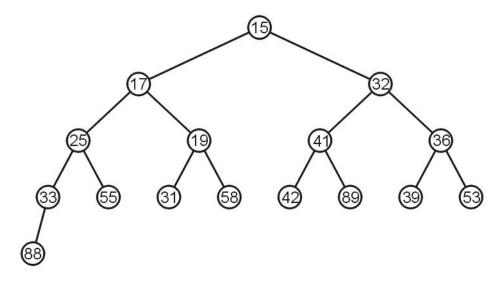
### Complete Tree

Therefore, we can maintain the complete-tree shape of a heap

#### We may store a complete tree using an array:

The array is filled using breadth-first traversal on the tree

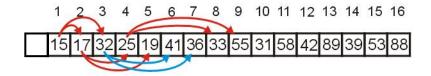
For the heap



a breadth-first traversal yields:

15 17 32 25 19 41 36 33 55 31 58 42 89 39 53 88

We start at index 1 when filling the array.

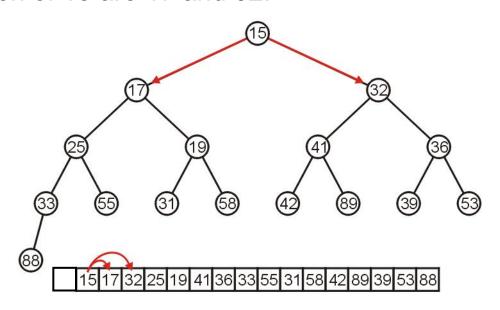


Given the entry at index k, it follows that:

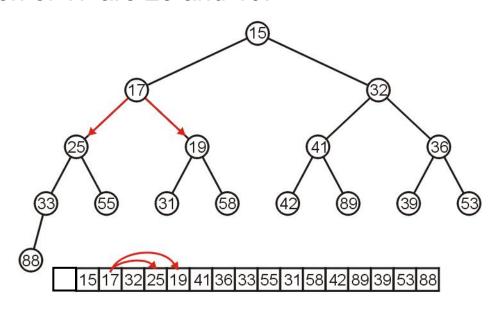
```
- The parent of node is a k/2 parent = k \gg 1;
```

```
- the children are at 2k and 2k + 1 left_child = k << 1; right_child = left_child | 1;
```

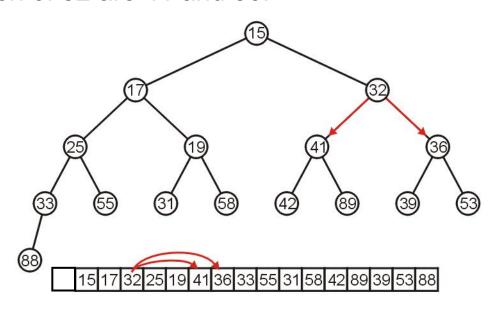
The children of 15 are 17 and 32:



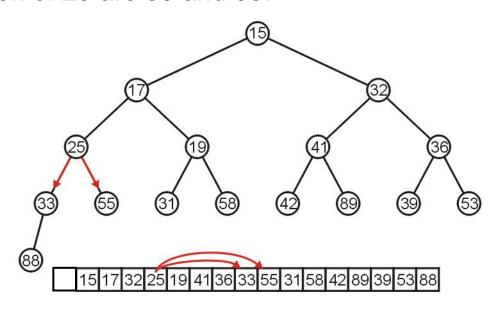
The children of 17 are 25 and 19:



The children of 32 are 41 and 36:



The children of 25 are 33 and 55:



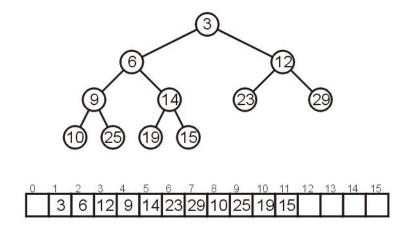
If the heap-as-array has N entries, then the next empty node in the corresponding complete tree is at location L = N + 1

We compare the item at location L with the item at L/2

If they are out of order

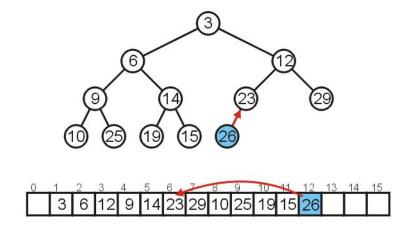
- Swap them
- Set L/= 2 and repeat

Consider the following heap, both as a tree and in its array representation



### Array Implementation: Push

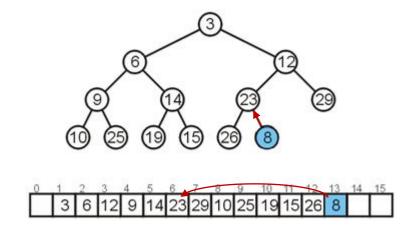
Inserting 26 requires no changes



# Array Implementation: Push

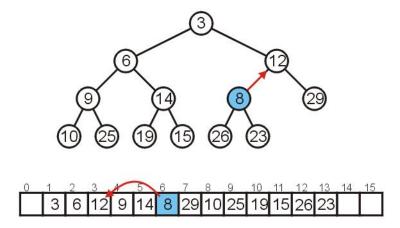
Inserting 8 requires a few percolations:

- Swap 8 and 23

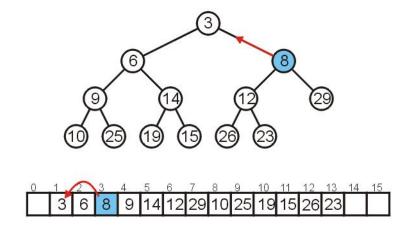


# Array Implementation: Push

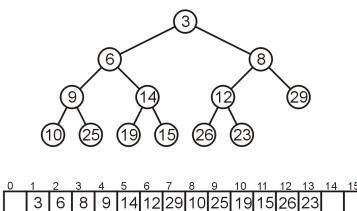
Swap 8 and 12



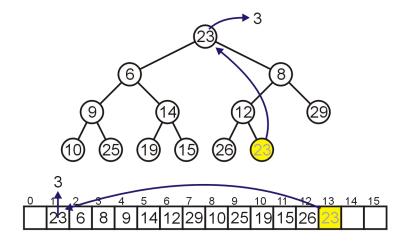
At this point, it is greater than its parent, so we are finished



As before, popping the top has us copy the last entry to the top



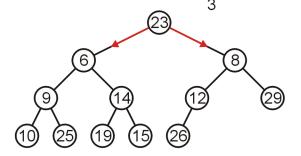
As before, popping the top has us copy the last entry to the top



Now percolate down

Compare Node 1 with its children: Nodes 2 and 3

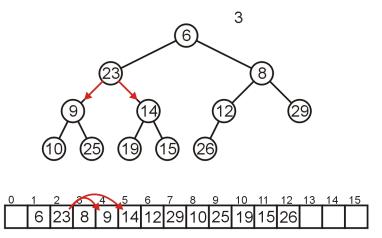
- Swap 23 and 6



0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
	23	6	8	9	14	12	29	10	25	19	15	26			

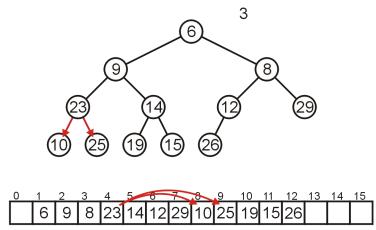
Compare Node 2 with its children: Nodes 4 and 5

- Swap 23 and 9



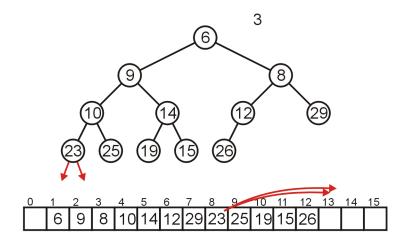
Compare Node 4 with its children: Nodes 8 and 9

- Swap 23 and 10

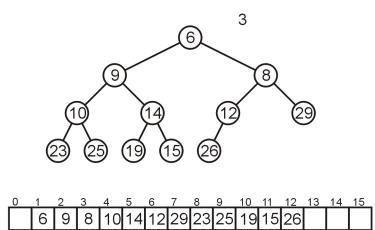


The children of Node 8 are beyond the end of the array:

- Stop

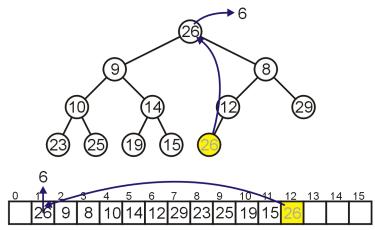


The result is a binary min-heap



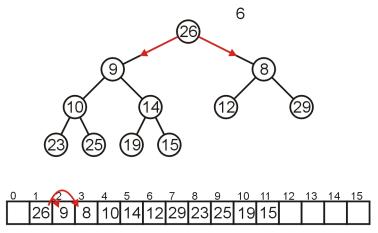
Dequeuing the minimum again:

Copy 26 to the root



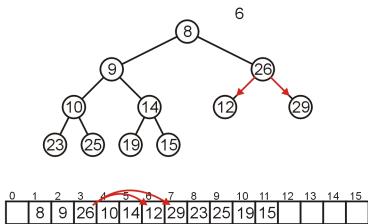
Compare Node 1 with its children: Nodes 2 and 3

- Swap 26 and 8



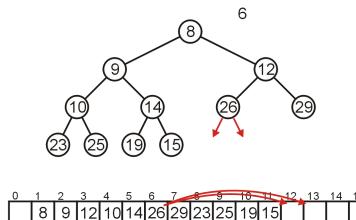
Compare Node 3 with its children: Nodes 6 and 7

Swap 26 and 12

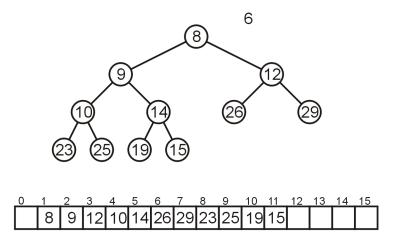


The children of Node 6, Nodes 12 and 13 are unoccupied

- Currently, N == 11

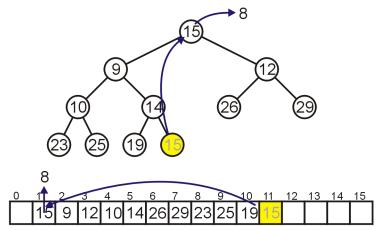


The result is a min-heap



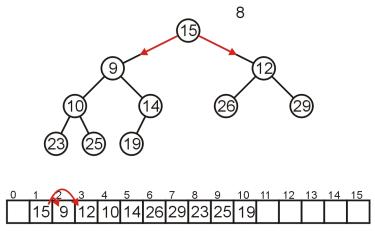
Dequeuing the minimum a third time:

Copy 15 to the root



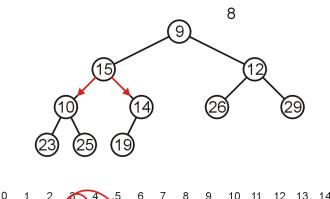
Compare Node 1 with its children: Nodes 2 and 3

- Swap 15 and 9



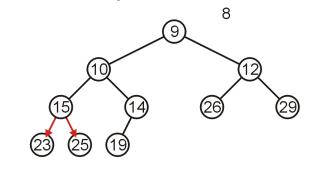
Compare Node 2 with its children: Nodes 4 and 5

- Swap 15 and 10

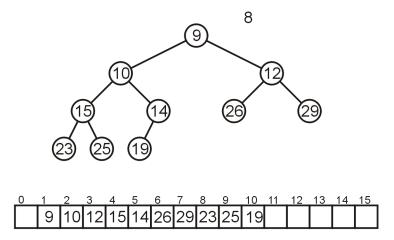


Compare Node 4 with its children: Nodes 8 and 9

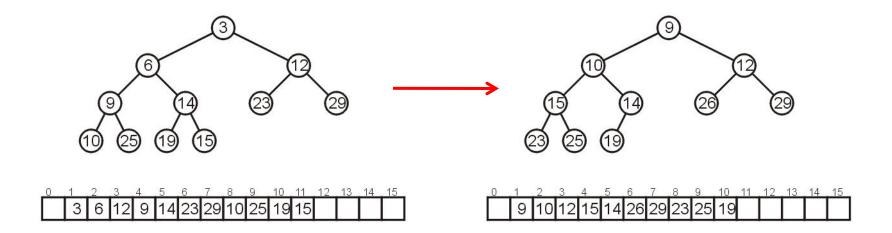
- 15 < 23 and 15 < 25 so stop



The result is a properly formed binary min-heap



After all our modifications, the final heap is



Accessing the top object is  $\Theta(1)$ 

Popping the top object is  $O(\ln(n))$ 

 We copy something that is already in the lowest depth—it will likely be moved back to the lowest depth

Pushing an object is also  $O(\ln(n))$ 

If we insert an object less than the root, it will be moved up to the top

Space complexity O(n)

So binary heap is a better implementation of priority queue

If we are inserting an object less than the root (at the front), then the run time will be  $\Theta(\ln(n))$ 

If we insert at the back (greater than any object) then the run time will be  $\Theta(1)$ 

How about an arbitrary insertion?

- It will be  $O(\ln(n))$ ? Could the average be less?

With each percolation, it will move an object past half of the remaining entries in the tree

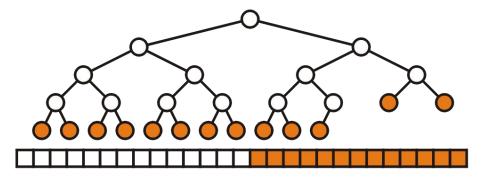
 Therefore, after one percolation, it will probably be past half of the entries, and therefore on average will require no more percolations

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

Therefore, we have an average run time of  $\Theta(1)$ 

An arbitrary removal requires that all entries in the heap be checked: O(n)

A removal of the largest object in the heap still requires all leaf nodes to be checked – there are approximately n/2 leaf nodes: O(n)



Thus, our grid of run times is given by:

	front	arbitrary	back
insert	$O(\ln(n))^*$	<b>O</b> (1)	<b>O</b> (1)
access	<b>O</b> (1)	O(n)	$\mathbf{O}(n)$
delete	$O(\ln(n))$	O(n)	$\mathbf{O}(n)$

#### Some observations:

- Continuously inserting at the front of the heap (*i.e.*, the new object being pushed is less than everything in the heap) causes the run-time to drop to  $O(\ln(n))$
- If the objects are coming in order of priority, use a regular queue with swapping
- Merging two binary heaps of size n is a  $\Theta(n)$  operation

Other heaps have better run-time characteristics

- Leftist, skew, binomial and Fibonacci heaps all use a node-based implementation requiring  $\Theta(n)$  additional memory
- For Fibonacci heaps, the run-time of all operations (including merging two Fibonacci heaps) except pop are  $\Theta(1)$

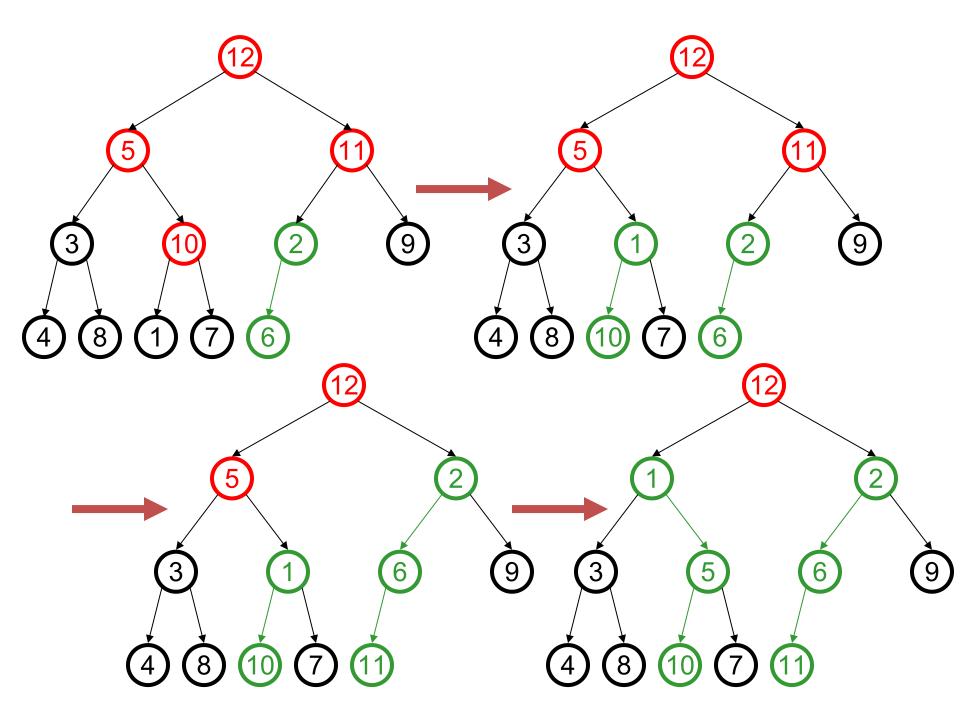
## Build Heap

- Task: Given a set of n keys, build a heap all at once
- Approach 1
  - Repeatedly perform push
- Complexity
  - $O(n \ln(n))$

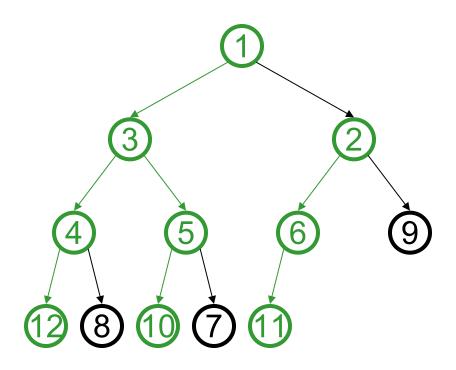
# Floyd's Method

Put the keys in a binary tree and fix the heap property!

```
buildHeap() {
  for (i=size/2; i>0; i--)
     percolateDown(i);
                   3
                       10
                             6
                                          8
                                 9
                                      4
```



Finally...



#### Complexity of Build Heap

- No percolation for the leaf nodes (n/2 nodes)
- At most n/4 nodes percolate down 1 level at most n/8 nodes percolate down 2 levels at most n/16 nodes percolate down 3 levels

. . .

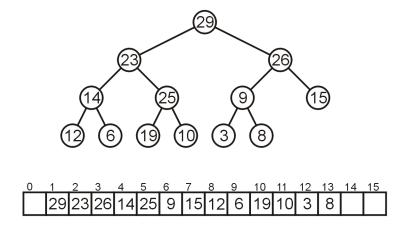
$$1\frac{n}{4} + 2\frac{n}{8} + 3\frac{n}{16} + \dots = \sum_{i=1}^{\log n} i \frac{n}{2^{i+2}} = \frac{n}{4} \sum_{i=1}^{\log n} \frac{i}{2^i} = \frac{n}{4} 2 = \frac{n}{2}$$

 $\Theta(n)$ 

#### Binary Max Heaps

A binary max-heap is identical to a binary min-heap except that the parent is always larger than either of the children

For example, the same data as before stored as a max-heap yields



#### Outline

- Priority queue
- Binary heap
- Heapsort

# Heapsort

- Sorting
  - take a list of objects  $(a_0, a_1, ..., a_{n-1})$
  - return a reordering  $(a'_0, a'_1, ..., a'_{n-1})$  such that  $a'_0 \le a'_1 \le \cdots \le a'_{n-1}$
- Heapsort
  - Place the objects into a heap
    - O(*n*) time
  - Repeatedly popping the top object until the heap is empty
    - O(*n* ln(*n*)) time
  - Time complexity:  $O(n \ln(n))$

#### In-place Implementation

#### Problem:

- This solution requires additional memory: a min-heap of size n
- This requires  $\Theta(n)$  memory

If the unsorted objects are <u>stored in an array</u>, is it possible to perform a heap sort in place, that is, require at most  $\Theta(1)$  memory (a few extra variables)?

#### In-place Implementation

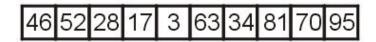
Instead of implementing a min-heap, consider a max-heap:

The maximum element is at the top of the heap

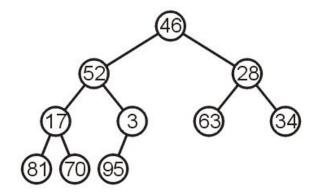
We then repeatedly pop the top object and move it to the end of the array.

### In-place Implementation

Now, consider this unsorted array:



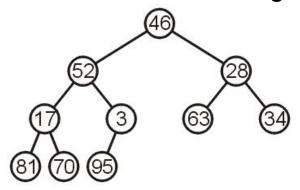
This array represents the following complete tree:



#### In-place Implementation

Now, consider this unsorted array:

Because we start at 0 (instead of 1 as in array storage of complete trees), we need different formulas for finding the children and parent



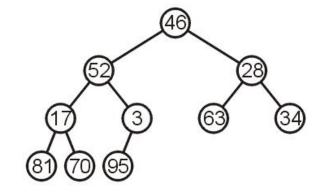
Children 2\*k + 1 2\*k + 2

Parent (k + 1)/2 - 1

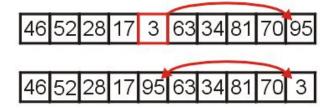
First, we must convert the unordered array with n = 10 elements into a max-heap

None of the leaf nodes need to be percolated down, and the last non-leaf node is in position n/2-1

Thus, we start with position 10/2-1=4



We compare 3 with its child and swap them

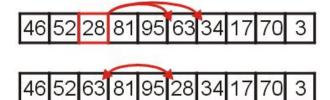


We compare 17 with its two children and swap it with the maximum child (81)



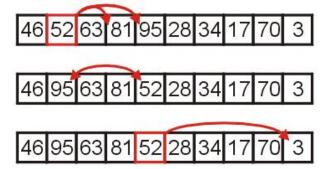
46 52 28 81 95 63 34 17 70 3

We compare 28 with its two children, 63 and 34, and swap it with the largest child

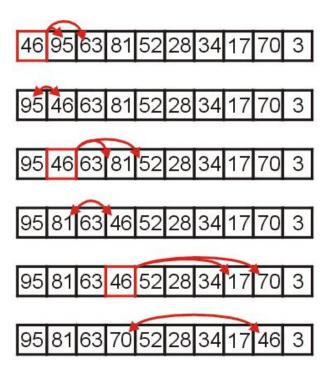


We compare 52 with its children, swap it with the largest

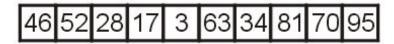
Recursing, no further swaps are needed



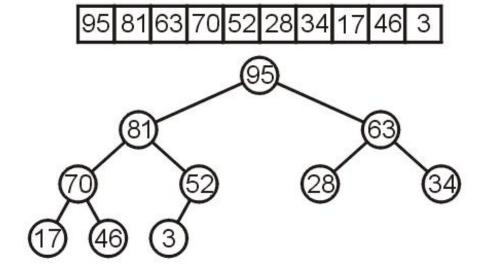
Finally, we swap the root with its largest child, and recurse, swapping 46 again with 81, and then again with 70



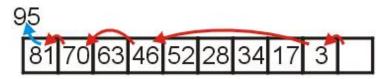
We have now converted the unsorted array



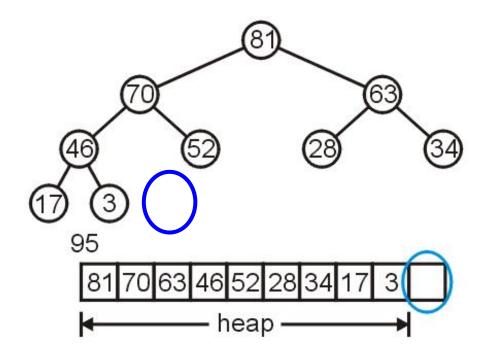
into a max-heap:



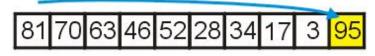
We pop the maximum element of this heap



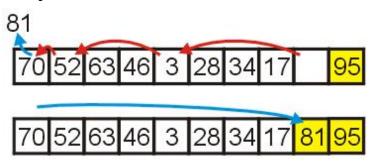
This leaves a gap at the back of the array:



This is the last entry in the array, so why not fill it with the largest element?

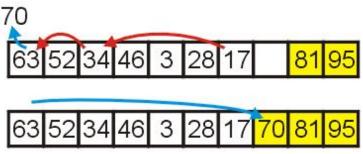


Repeat this process: pop the maximum element, and then insert it at the end of the array:

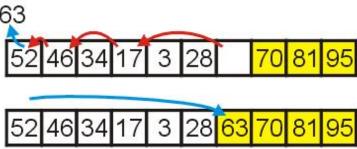


#### Repeat this process

Pop and append 70

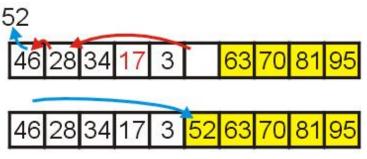


Pop and append 63

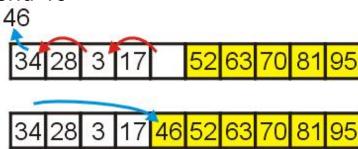


We have the 4 largest elements in order

Pop and append 52

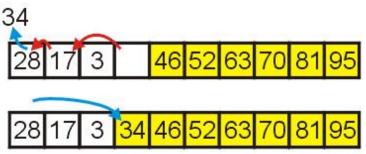


Pop and append 46

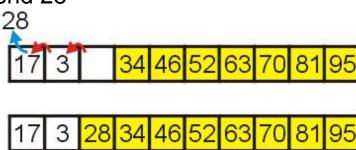


#### Continuing...

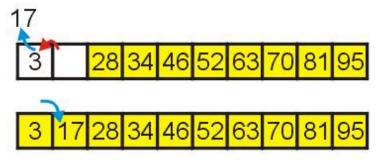
Pop and append 34



Pop and append 28

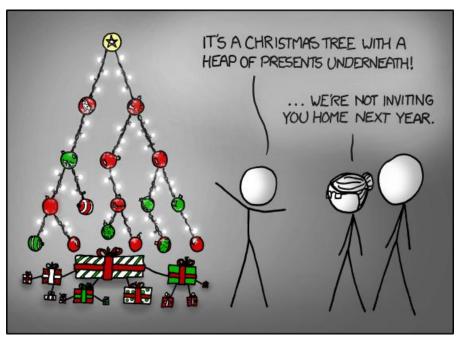


Finally, we can pop 17, insert it into the 2<sup>nd</sup> location, and the resulting array is sorted



### Example

Here we have a max-heap of presents under a red-green tree:



http://xkcd.com/835/

Now, does using a heap ensure that that object in the heap which:

- has the highest priority, and
- of that highest priority, has been in the heap the longest

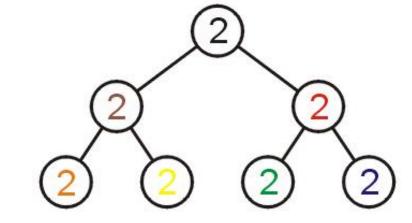
Consider inserting seven objects, all of the same priority (colour indicates order):

2, 2, 2, 2, 2, 2

Whatever algorithm we use for promoting must ensure that the first object remains in the root position

 Thus, we must use an insertion technique where we only percolate up if the priority is lower

The result:



#### Challenge:

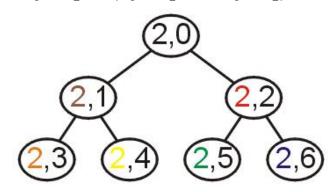
Come up with an algorithm which removes all seven objects in the original order

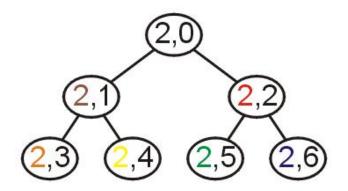
## Lexicographical Ordering

#### A better solution is to modify the priority:

- Track the number of insertions with a counter k (initially 0)
- For each insertion with priority n, create a hybrid priority (n, k) where:

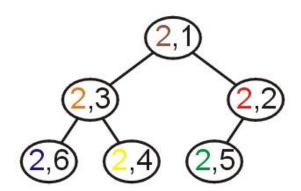
$$(n_1, k_1) < (n_2, k_2)$$
 if  $n_1 < n_2$  or  $(n_1 = n_2 \text{ and } k_1 < k_2)$ 

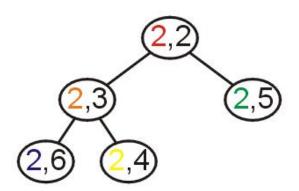


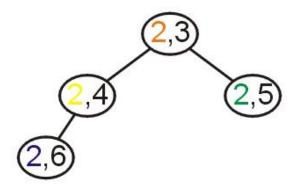


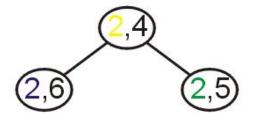
Popped: 2

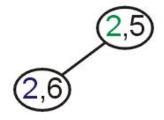
- First, (2,1) < (2,2) and (2,3) < (2,4)











#### Summary

#### In this talk, we have:

- Discussed binary heaps
- Looked at an implementation using arrays
- Analyzed the run time:

• Head Θ(1)

• Push  $\Theta(1)$  average

• Pop  $O(\ln(n))$ 

- Discussed implementing priority queues using binary heaps
- The use of a lexicographical ordering

#### Summary

- Priority queue
  - pop the object with the highest priority
- Binary heap
  - Operations
    - Top Θ(1)
    - Push  $O(\ln(n))$
    - Pop  $O(\ln(n))$
    - Build  $\Theta(n)$
  - Implementation using arrays
- Heapsort
  - Time:  $O(n \ln(n))$
  - Space: O(1)

#### References

- [1] Donald E. Knuth, *The Art of Computer Programming, Volume 3:* Sorting and Searching, 2<sup>nd</sup> Ed., Addison Wesley, 1998, §7.2.3, p.144.
- [2] Cormen, Leiserson, and Rivest, *Introduction to Algorithms*, McGraw Hill, 1990, §7.1-3, p.140-7.
- [3] Weiss, *Data Structures and Algorithm Analysis in C++*, *3<sup>rd</sup> Ed.*, Addison Wesley, §6.3, p.215-25.

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Sincerely,
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