2IL50 Data Structures

2023-24 Q3

Lecture 3: Heaps

EINDHOVEN UNIVERSITY OF TECHNOLOGY

Announcements

Segment 1 in-class interim test Thursday, February 22

Rooms
see Canvas group, assignment ready by tomorrow
arrive by 17:30 *cannot enter or leave once test has started*
follow instructions
https://canvas.tue.nl/courses/25271/pages/in-class-interim-tests

Laptops
must take SEB check *install the new version of SEB!*
problems by end of today or no help
no working laptop by Thursday: fail
no SEB check and problems during test: fail
spare laptops only for emergencies during test

Solving recurrences

one more time …

Solving recurrences

Easiest: Master theorem
caveat: not always applicable

Alternatively: Guess the solution and use the substitution method to prove that your guess is correct.

How to guess:

1. expand the recursion
2. draw a recursion tree

Example

```
Example(A)
      // A is an array of length n
 1  n = A.length
 2  if n == 1
 3      return A[1]
 4  else
 5      copy A[1:⌈n/2⌉] to auxiliary array B[1:⌈n/2⌉]
 6      copy A[1:⌈n/2⌉] to auxiliary array C[1:⌈n/2⌉]
 7      b = Example(B);  c = Example(C)
 8      for i = 1 to n
 9          for j = 1 to i
10              A[i] = A[j]
11      return 43
```

Let $T(n)$ be the worst-case running time of Example on an array of length n.

Lines 1, 2, 3, 4, and 11 take $\Theta(1)$ time.

Lines 5 and 6 take $\Theta(n)$ time.

Line 7 takes $\Theta(1) + 2\,T(\lceil n/2 \rceil)$ time.

Lines 8 until 10 take $\sum_{i=1}^{n} \sum_{j=1}^{i} \Theta(1) = \sum_{i=1}^{n} \Theta(i) = \Theta(n^2)$ time.

If $n = 1$ Lines 1, 2, and 3 are executed, else Lines 1, 2, and 4 until 12 are executed.

➡ $T(n) = \begin{cases} \Theta(1) & \text{if } n = 1 \\ 2T(n/2) + \Theta(n^2) & \text{if } n > 1 \end{cases}$

➡ use master theorem …

The master theorem

Let a and b be constants, let $f(n)$ be a function,
and let $T(n)$ be defined on the nonnegative integers by the recurrence

$$T(n) \;=\; aT(n/b) + f(n)$$

Watershed function: $n^{\log_b a}$

Then we have:

1. If $f(n) = O(n^{(\log_b a)-\varepsilon})$ for some constant $\varepsilon > 0$, then $T(n) = \Theta(n^{\log_b a})$.
2. If $f(n) = \Theta(n^{\log_b a} \log^k n)$, for some constant $k \geq 0$, then $T(n) = \Theta(n^{\log_b a} \log^{k+1} n)$.
3. If $f(n) = \Omega(n^{(\log_b a)+\varepsilon})$ for some constant $\varepsilon > 0$,
   and if $af(n/b) \;\leq\; cf(n)$ for some constant $c < 1$ and all sufficiently large n,
   then $T(n) = \Theta(f(n))$.

Quiz

Recurrence	Master theorem?	
1. $T(n) = 4T\left(\frac{n}{2}\right) + \Theta(n^3)$	yes	$T(n) = \Theta(n^3)$
2. $T(n) = 4T\left(\frac{n}{2}\right) + \Theta(n)$	yes	$T(n) = \Theta(n^2)$
3. $T(n) = T\left(\frac{n}{2}\right) + 1$	yes	$T(n) = \Theta(\log n)$
4. $T(n) = T\left(\frac{n}{3}\right) + T\left(\frac{2n}{3}\right) + n$	no	$T(n) = \Theta(n \log n)$
5. $T(n) = 9T\left(\frac{n}{3}\right) + \Theta(n^2 \log n)$	yes	$T(n) = \Theta(n^2 \log^2 n)$
6. $T(n) = \sqrt{n}T(\sqrt{n}) + n$	no	$T(n) = \Theta(n \log \log n)$

Substitution

$$T(n) = \begin{cases} 1 & \text{if } n = 1 \text{ or } n = 2 \\ 7T(\lfloor n/3 \rfloor) + n^2 & \text{if } n > 2 \end{cases}$$

Claim: $T(n) = O(n^2)$

(To show: exist constants c and n_0 such that
$T(n) \leq cn^2$ for all $n \geq n_0$)

Proof: by induction on n

Base case ($n = 1$): $1 \leq c \cdot n^2 = c \cdot 1^2 = c$ for $c \geq 1$

Base case ($n = 2$): $1 \leq c \cdot n^2 = c \cdot 2^2 = 4c$ for $c \geq 0.25$

Inductive step: IH: Assume that for all $1 \leq k < n$ it holds that $T(k) \leq ck^2$.

Then
$$\begin{aligned} T(n) &= 7T(\lfloor n/3 \rfloor) + n^2 \\ &\leq 7 \cdot c \cdot (\lfloor n/3 \rfloor)^2 + n^2 && \text{(by IH)} \\ &\leq 7/9 \cdot cn^2 + n^2 \\ &= cn^2 - 2/9 \cdot cn^2 + n^2 \\ &\leq cn^2 && \text{(for } c \geq 9/2 \text{ we have } -2/9 \cdot cn^2 + n^2 \leq 0) \end{aligned}$$

Substitution

$$T(n) = \begin{cases} 1 & \text{if } n = 1 \text{ or } n = 2 \\ 7T(\lfloor n/3 \rfloor) + n^2 & \text{if } n > 2 \end{cases}$$

Claim: $T(n) = O(n^2)$

(To show: exist constants c and n_0 such that
$T(n) \leq cn^2$ for all $n \geq n_0$)

Proof: by induction on n

Base case ($n = 1$): [...]

Base case ($n = 2$): [...]

Inductive step: [...]

Let $n_0 = 1$ and $c = 9/2$.
By induction it holds that $T(n) = O(n^2)$. ■

Tips

Analysis of recursive algorithms:
find the recursion and solve with master theorem if possible

Analysis of loops: summations

Some standard recurrences and sums:

$$T(n) = 2T(n/2) + \Theta(n) \quad \Rightarrow \quad T(n) = \Theta(n \log n)$$

$$\sum_{i=1}^{n} i = \frac{1}{2} n(n+1) = \Theta(n^2)$$

$$\sum_{i=1}^{n} i^2 = \frac{1}{6} n(n+1)(2n+1) = \Theta(n^3)$$

Heaps

Event-driven simulation

Stores a set of events, processes first event (highest priority)

Supporting data structure:

- insert event
- find (and extract) event with highest priority
- change the priority of an event

Priority queue

Max-priority queue

abstract data type (ADT) that stores a set S of elements,
each with an associated key (integer value).

Operations

Insert(S, x):	inserts element x into S, that is, $S \leftarrow S \cup \{x\}$
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):	gives $x.\mathrm{key}$ the value k condition: k is larger than the current value of $x.\mathrm{key}$

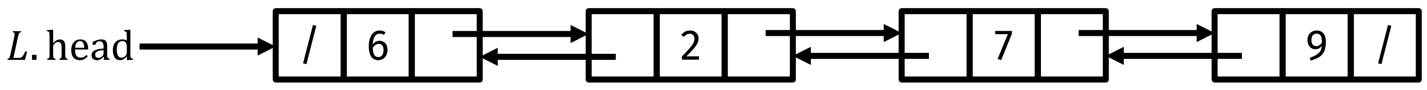
Min-priority queue …

Implementing a priority queue

	Insert	Maximum	Extract-Max	Increase-Key
sorted list				
sorted array				

(Doubly) linked list

Linked list collection of objects stored in linear order, with objects pointing to their predecessor and successor



$L.\text{head}$ points to the first object

$L.\text{head} = NIL$ if L is empty

Object x:

- $x.\text{prev}$ points to the predecessor
- $x.\text{next}$ points to the successor
- $x.\text{key}$, $x.\text{data}$

$x.\text{prev} = NIL$ if x is first

$x.\text{next} = NIL$ if x is last

Operations

- Search(L, key) $O(n)$
- Insert(L, x) $O(1)$
- Delete(L, x) $O(1)$

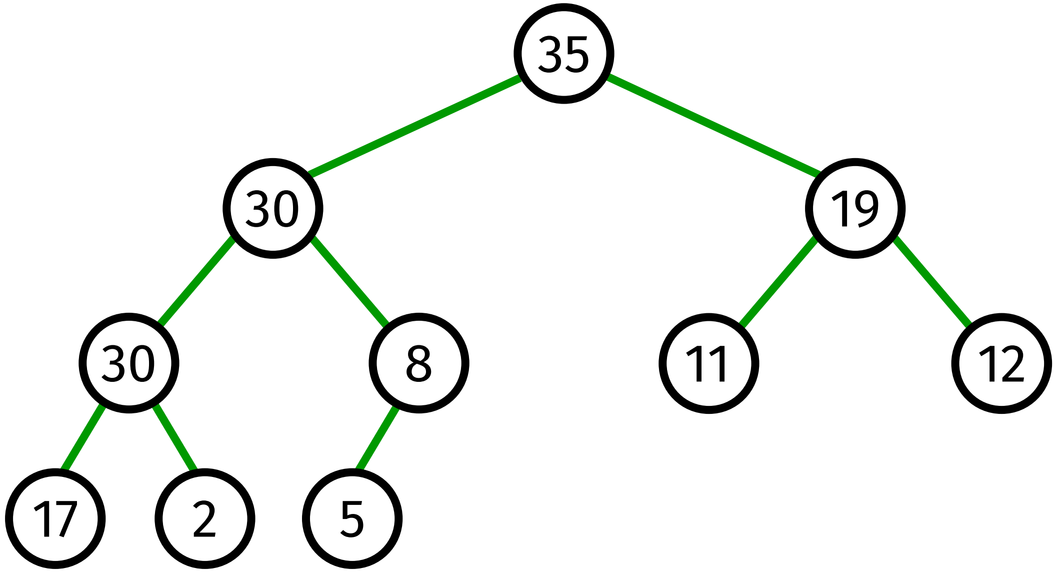
Implementing a priority queue

	Insert	Maximum	Extract-Max	Increase-Key
sorted list	$\Theta(n)$	$\Theta(1)$	$\Theta(1)$	$\Theta(n)$
sorted array	$\Theta(n)$	$\Theta(1)$	$\Theta(n)$?	$\Theta(n)$

Today

	Insert	Maximum	Extract-Max	Increase-Key
heap	$\Theta(\log n)$	$\Theta(1)$	$\Theta(\log n)$	$\Theta(\log n)$

Max-heap



Heap

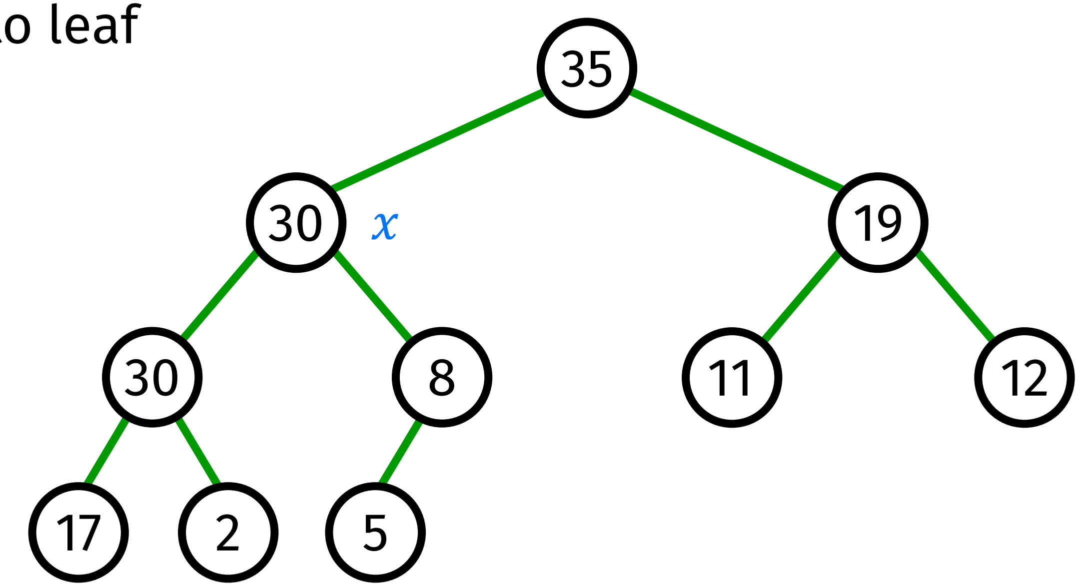
nearly complete binary tree, filled on all levels except possibly the lowest.
(lowest level is filled from left to right)

Max-heap property: for every node i other than the root $\text{Parent}(i).\text{key} \geq i.\text{key}$

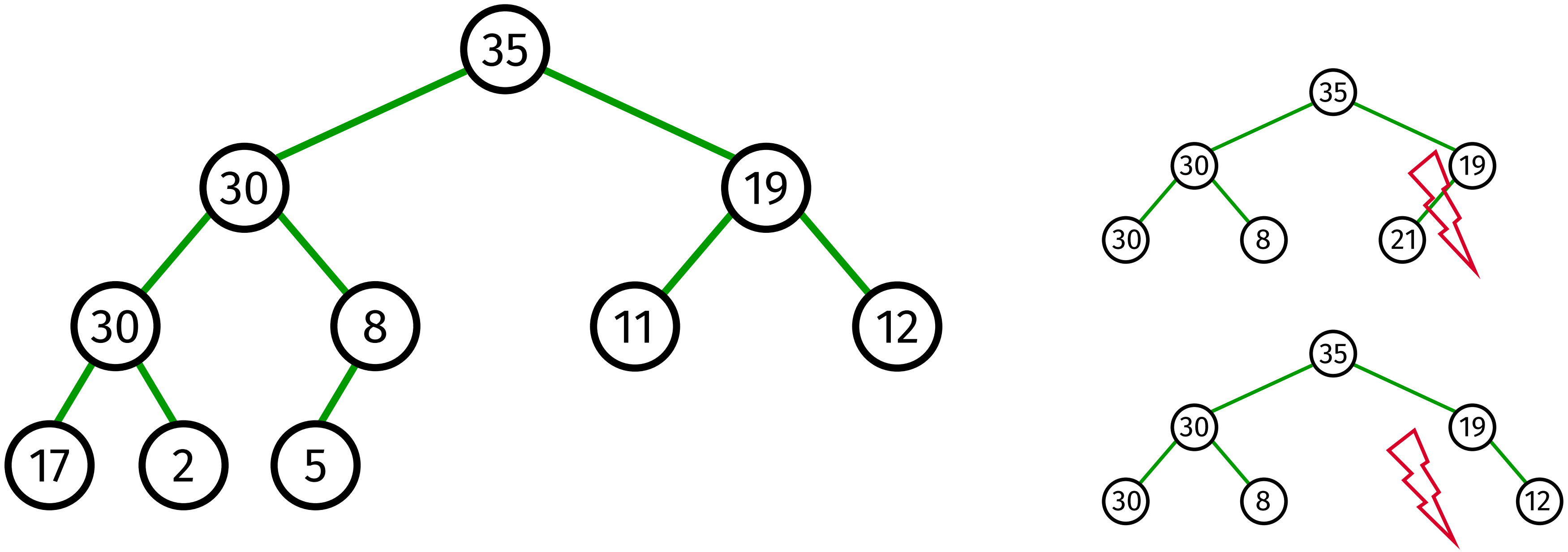
Tree terminology

Binary tree: every node has 0, 1, or 2 children
Root: top node (no parent)
Leaf: node without children
Subtree rooted at node x: all nodes below and including x
Depth of node x: length of path from root to x
Depth of tree: max. depth over all nodes
Height of node x: length of longest path from x to leaf
Height of tree: height of root
Level: set of nodes with same depth

Family tree terminology
Left/right child
Parent
Grandparent ...



Max-heap



Heap

nearly complete binary tree, filled on all levels except possibly the lowest.
(lowest level is filled from left to right)

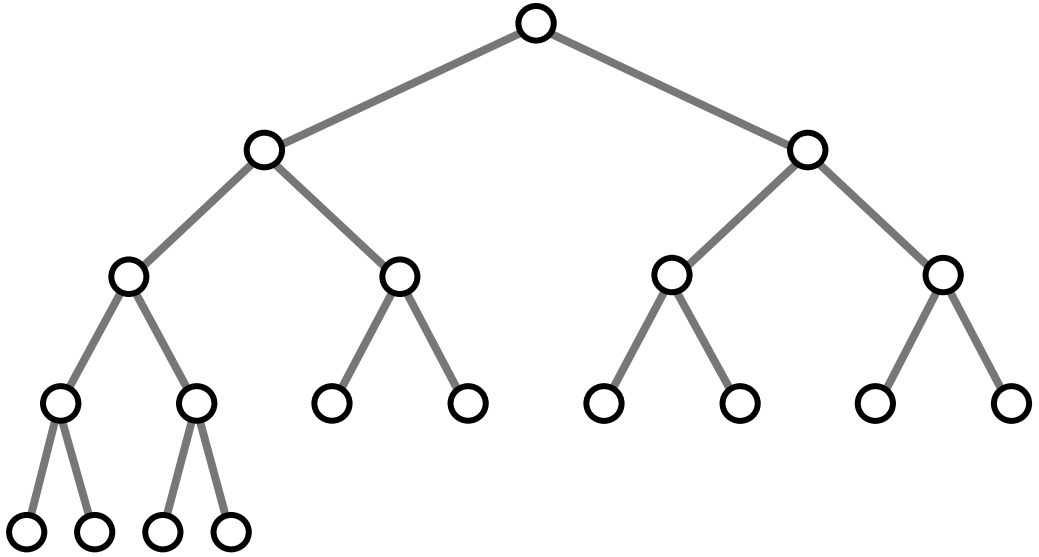
Max-heap property: for every node i other than the root Parent(i)$.\mathrm{key} \geq i.\mathrm{key}$

Properties of a max-heap

Lemma

The largest element in a max-heap is stored at the root.

Proof:

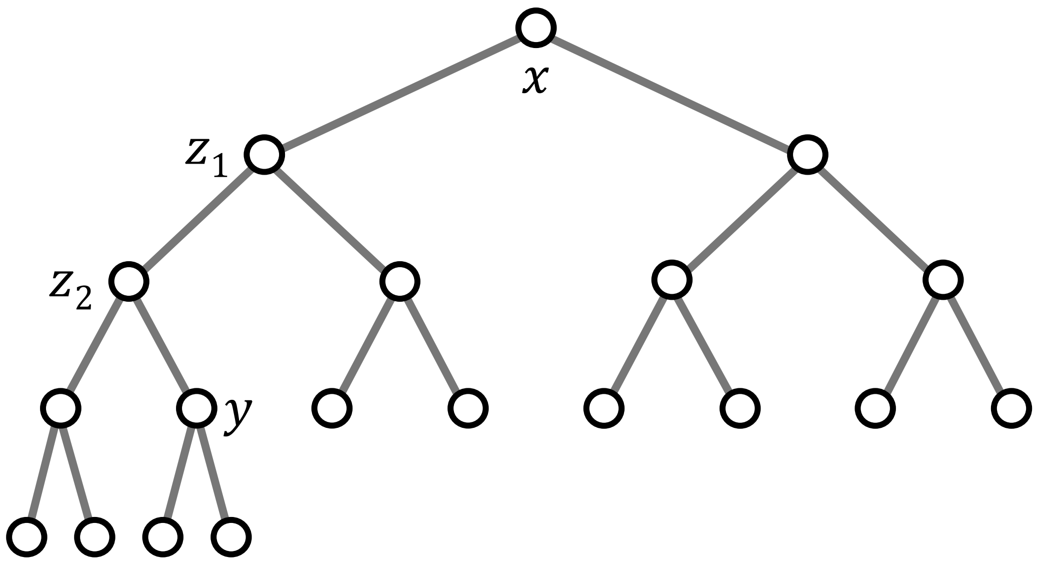


Properties of a max-heap

Lemma
The largest element in a max-heap is stored at the root.

Proof: x root
y arbitrary node
$z_1, z_2, \dots, z_k$ nodes on path between x and y

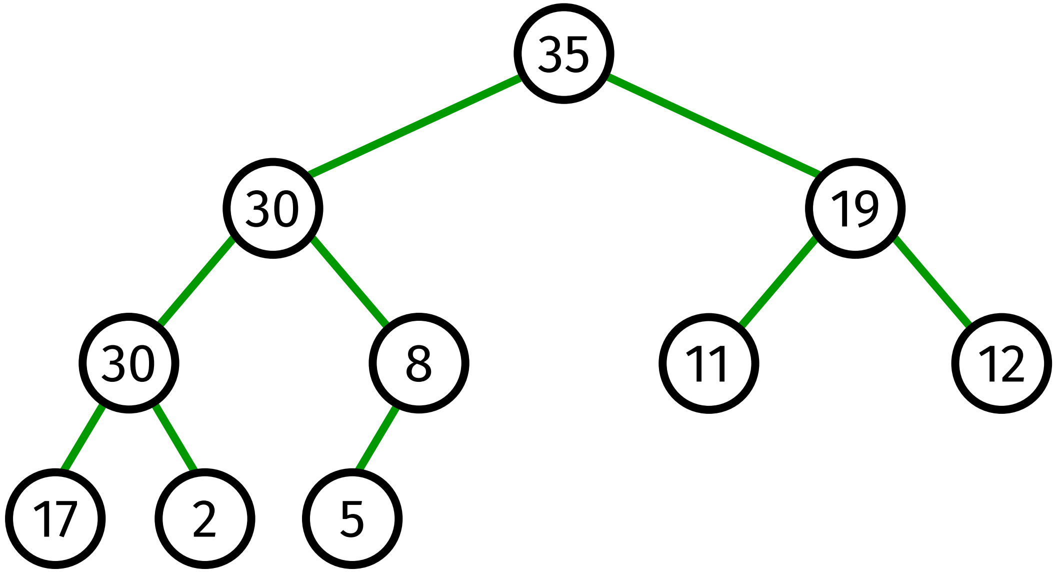
max-heap property
➡ $x.\mathrm{key} \geq z_1.\mathrm{key} \geq \cdots \geq z_k.\mathrm{key} \geq y.\mathrm{key}$
➡ the largest element is stored at x ■



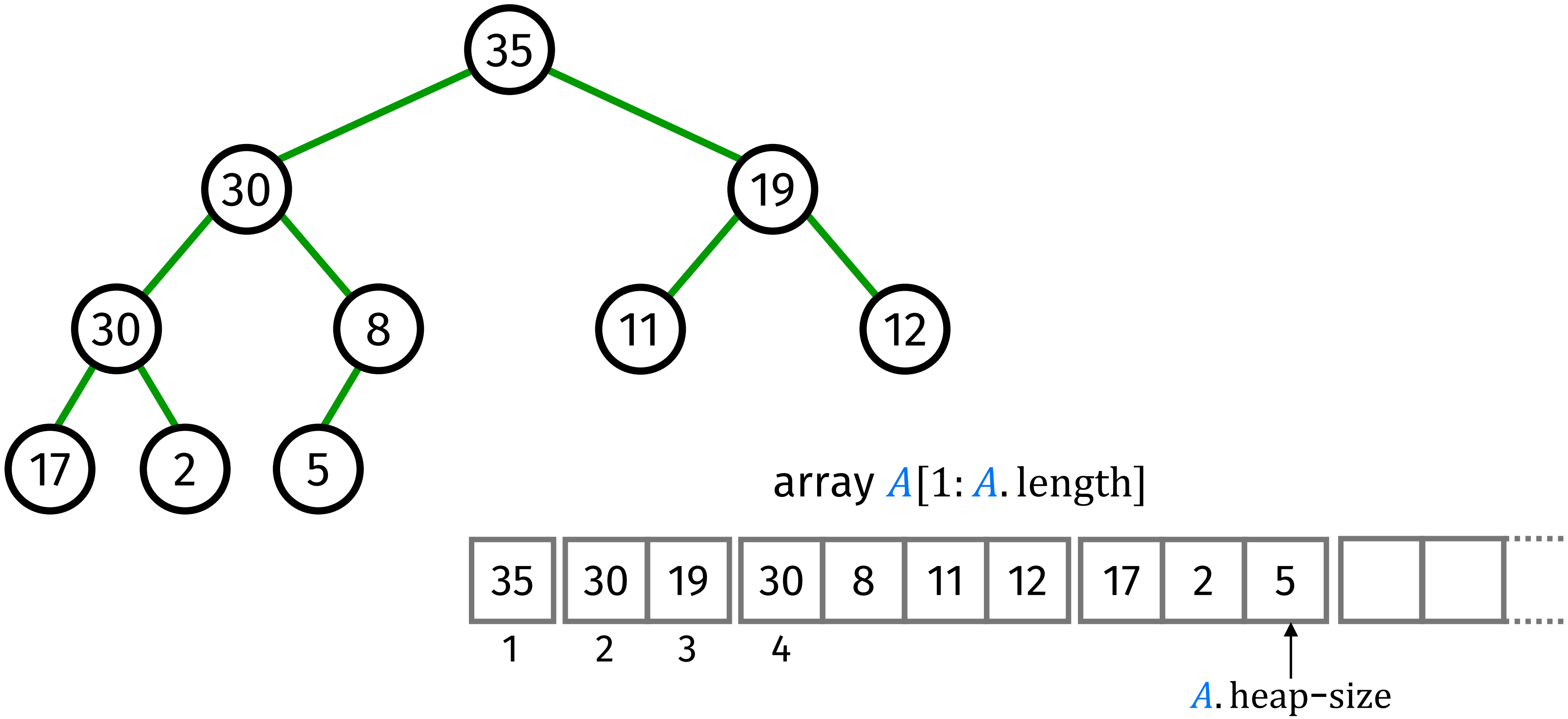
Storing a heap

How to store a heap?

- Tree structure?
- In an array?



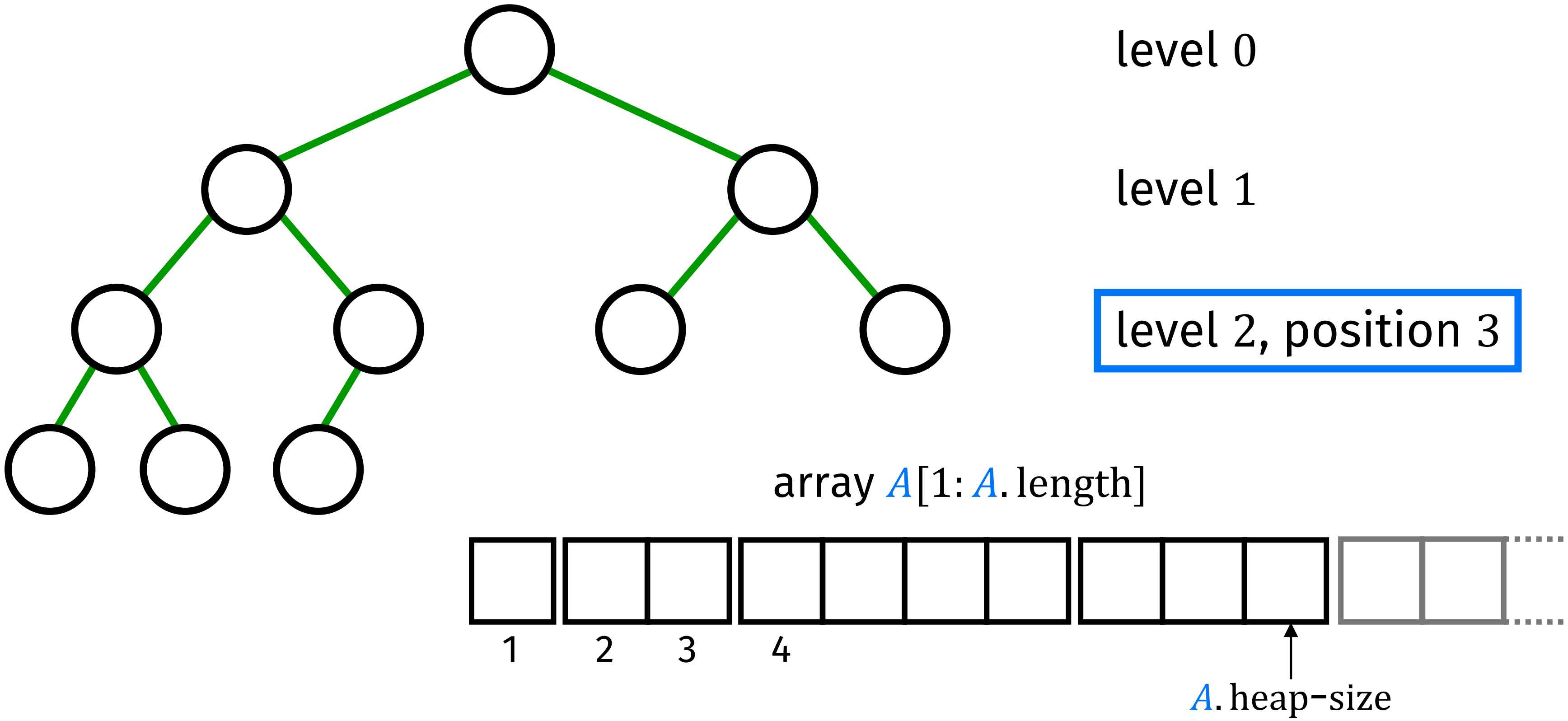
Implementing a heap with an array



$A.\text{length}$ = length of array A

$A.\text{heap-size}$ = number of elements in the heap

Implementing a heap with an array



k^{th} node on level j is stored at position $A[2^j + k - 1]$

left child of node at position i = Left(i) = $2i$

right child of node at position i = Right(i) = $2i + 1$

parent of node at position i = Parent(i) = $\lfloor i/2 \rfloor$

Priority queue

Max-priority queue

abstract data type (ADT) that stores a set S of elements, each with an associated key (integer value).

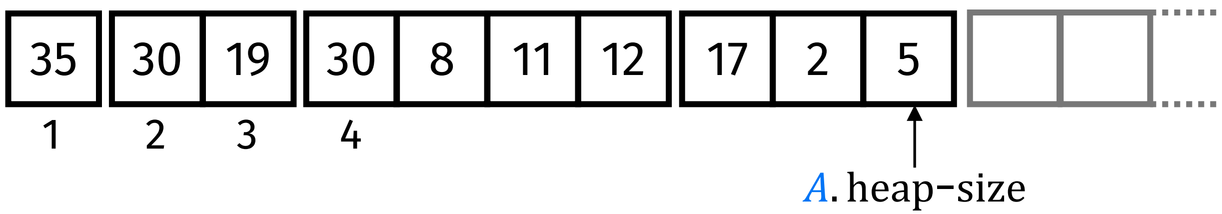
Operations

- Insert(S, x): inserts element x into S, that is, $S = S \cup \{x\}$
- 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): gives $x.\mathrm{key}$ the value k
  condition: k is larger than the current value of $x.\mathrm{key}$

Implementing a max-priority queue

Set S is stored as a heap in an array A.

Operations: Maximum, Extract-Max, Insert, Increase-Key.



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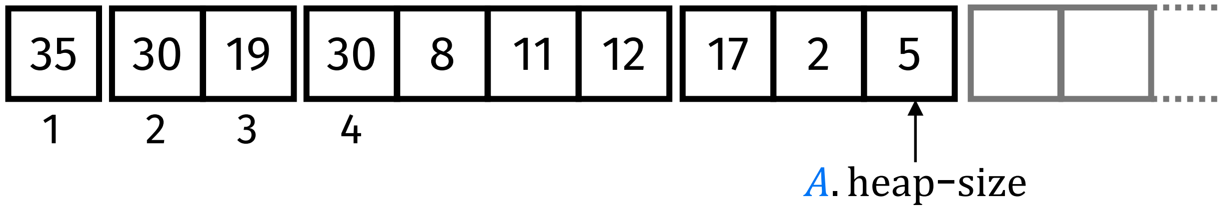


Maximum(A)

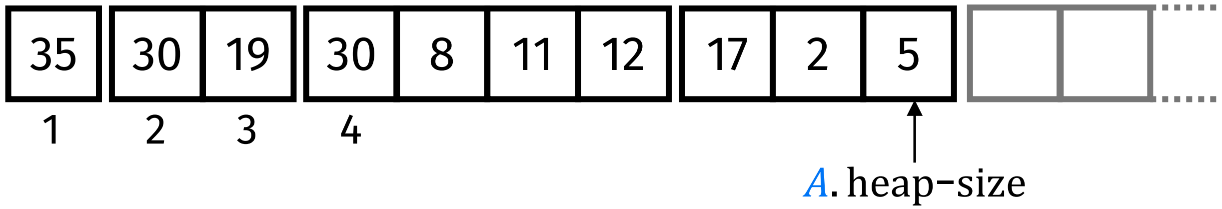
```
if A.heap-size < 1
    error "heap is empty"
return A[1]
```

running time: $O(1)$

Implementing a max-priority queue

Set S is stored as a heap in an array A.

Operations: Maximum, Extract-Max, Insert, Increase-Key.



Implementing a max-priority queue

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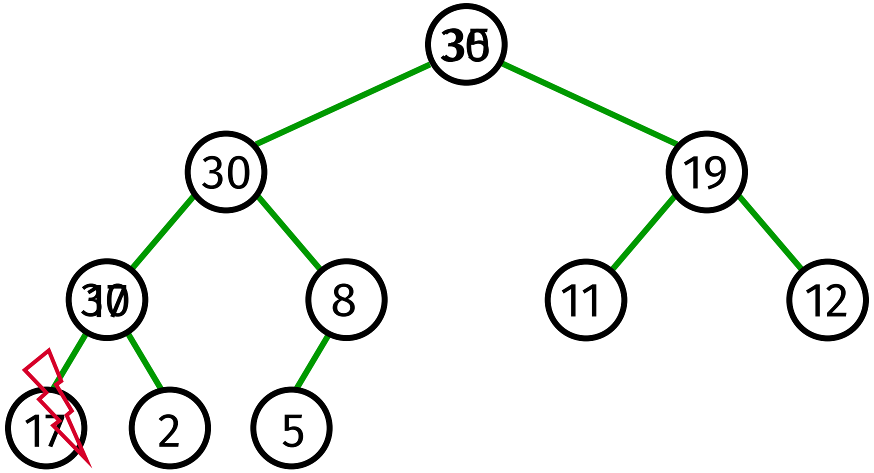


Implementing a max-priority queue

Set S is stored as a heap in an array A.

Operations: Maximum, Extract-Max, Insert, Increase-Key.

Extract-Max(A)

if $A.\text{heap-size} < 1$

  error "heap is empty"

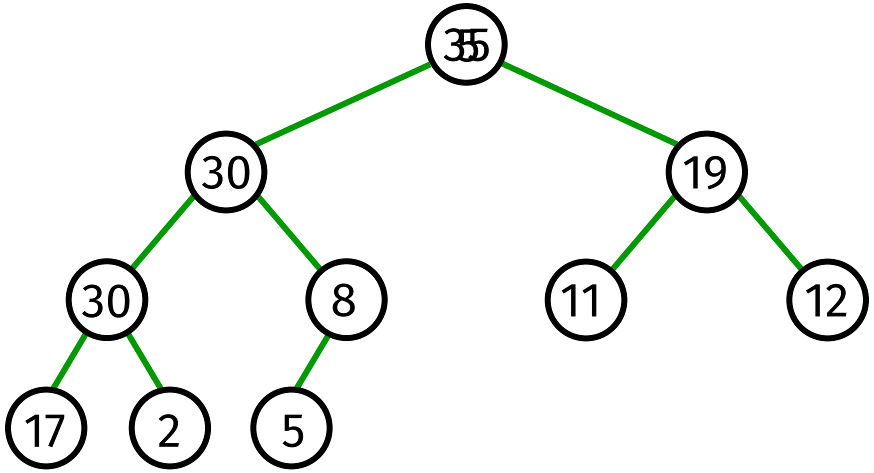
$\text{max} = A[1]$

$A[1] = A[A.\text{heap-size}]$

$A.\text{heap-size} = A.\text{heap-size} - 1$

Max-Heapify$(A, 1)$

return max



restore heap property

Max-Heapify

Max-Heapify(A, i)

    // ensures that the heap whose root is stored at position i has the max-heap property

    // assumes that the binary subtrees rooted at Left(i) *and* Right(i) *are max-heaps*

Max-Heapify

Max-Heapify(A, i)

// ensures that the heap whose root is stored at position i has the max-heap property

// assumes that the binary subtrees rooted at Left(i) *and* Right(i) *are max-heaps*

Max-Heapify$(A, 1)$

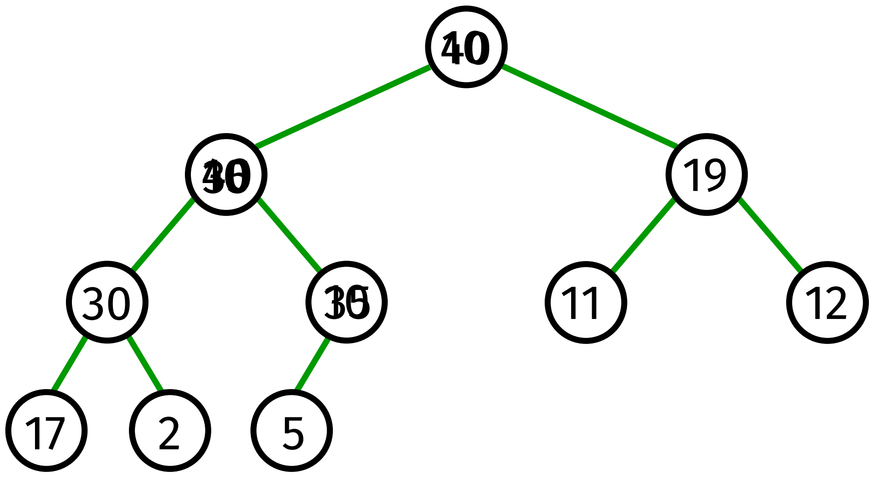
exchange $A[1]$ with largest child

Max-Heapify$(A, 2)$

exchange $A[2]$ with largest child

Max-Heapify$(A, 5)$

$A[5]$ larger than its children ➡ done.



Max-Heapify

Max-Heapify(A, i)

// ensures that the heap whose root is stored at position i has the max-heap property

// assumes that the binary subtrees rooted at Left(i) *and* Right(i) *are max-heaps*

```
if Left(i) ≤ A.heap-size and A[Left(i)] > A[i]
        largest = Left(i)
else largest = i
if Right(i) ≤ A.heap-size and A[Right(i)] > A[largest]
        largest = Right(i)
if largest ≠ i
        exchange A[i] and A[largest]
        Max-Heapify(A, largest)
```

running time? $O(\text{height of the subtree rooted at } i) = O(\log n)$

Implementing a max-priority queue

Set S is stored as a heap in an array A.

Operations: Maximum, Extract-Max, Insert, Increase-Key.

Insert(A, key)

$A.\text{heap-size} = A.\text{heap-size} + 1$

$A[A.\text{heap-size}] = -\infty$

Increase-Key$(A, A.\text{heap-size}, \text{key})$

Implementing a max-priority queue

Set S is stored as a heap in an array A.

Operations: Maximum, Extract-Max, Insert, Increase-Key.

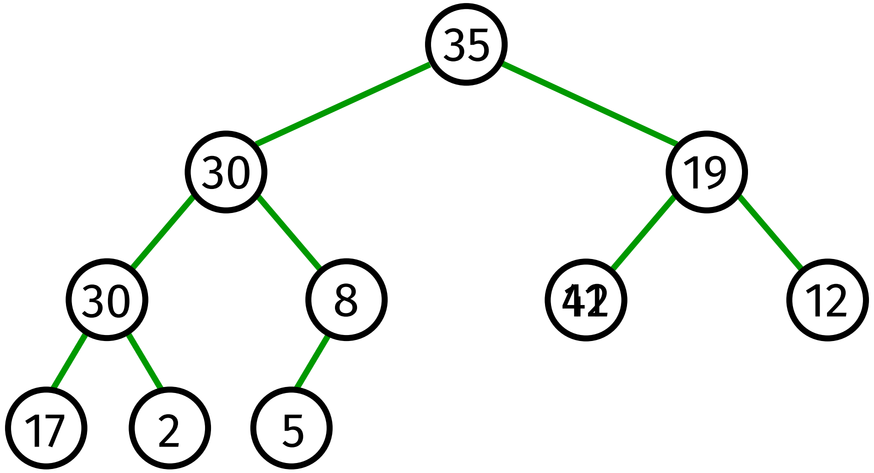
Implementing a max-priority queue

Set S is stored as a heap in an array A.

Operations: Maximum, Extract-Max, Insert, Increase-Key.

Increase-Key(A, i, key)

if key $< A[i]$
    error "cannot decrease key"
$A[i] = \text{key}$
while $i > 1$ and $A[\text{Parent}(i)] < A[i]$
    exchange $A[\text{Parent}(i)] \leftrightarrow A[i]$
    $i = \text{Parent}(i)$



running time: $O(\log n)$

Building a heap

Build-Max-Heap(A)

// Input: array $A[1{:}n]$ of numbers

// Output: array $A[1{:}n]$ with the same numbers, but rearranged, such that the
// max-heap property holds

1 $A.\text{heap-size} = A.\text{length}$
2 **for** $i = A.\text{length}$ **downto** 1
3 Max-Heapify(A, i)

starting at $\lfloor A.\text{length}/2 \rfloor$ is sufficient

Loop Invariant

$P(i)$: nodes $i + 1, \ldots, n$ are each the root of a max-heap

Maintenance

$P(i)$ holds before line 3 is executed,
$P(i - 1)$ holds afterwards

Building a heap

```
Build-Max-Heap(A)
A.heap-size = A.length
for i = A.length downto 1
        Max-Heapify(A, i)
```

$\longrightarrow O(\text{height of node } i)$

height of node i
\# edges longest simple downward path from i to a leaf.

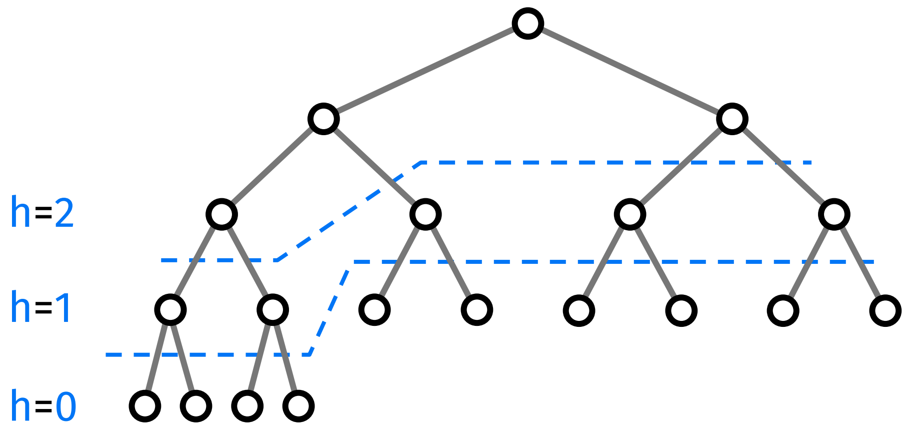
$$\sum_i O(1 + \text{height of } i)$$

$$= \sum_{0 \le h \le \log n} (\#\text{ nodes of height } h) \cdot O(1+h)$$

$$= \sum_{0 \le h \le \log n} \left(\frac{n}{2^{h+1}}\right) \cdot O(1+h)$$

$$= O(n) \cdot \sum_{0 \le h \le \log n} \left(\frac{h}{2^{h+1}}\right)$$

$$= O(n)$$



The sorting problem

Input: a sequence of n numbers $A = \langle a_1, a_2, \dots, a_n \rangle$
Output: a permutation of the input such that $\langle a_{i1} \leq a_{i2} \leq \cdots \leq a_{in} \rangle$

Important properties of sorting algorithms:

running time: how fast is the algorithm in the worst case

in place: only a constant number of input elements are ever stored outside the input array

Sorting with a heap: Heapsort

HeapSort(A)

```
1  Build-Max-Heap(A)
2  for i = A.length downto 2
3      exchange A[1] ↔ A[i]
4      A.heap-size = A.heap-size − 1
5      Max-Heapify(A, 1)
```

Loop invariant

$P(i)$: $A[i+1:n]$ is sorted and contains the $n-i$ largest elements,
$A[1:i]$ is a max-heap on the remaining elements

Maintenance

$P(i)$ holds before lines 3-5 are executed,
$P(i-1)$ holds afterwards

Running time: $O(n \log n)$

Sorting algorithms

	worst case running time	in place
InsertionSort	$\Theta(n^2)$	yes
MergeSort	$\Theta(n \log n)$	no
HeapSort	$\Theta(n \log n)$	yes