COMP9024: Data Structures and Algorithms

Week Seven: Priority Queues

Hui Wu

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http://www.cse.unsw.edu.au/~cs9024

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Outline

- Priority Queues
- Heaps
- Adaptable Priority Queues

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Priority Queues

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Priority Queue ADT

- A priority queue stores a collection of entries.
- Each **entry** is a pair (key, value).
- Main methods of the Priority Queue ADT:
  - insert(k, x) Inserts an entry with key k and value x.
  - removeMin() Removes and returns the entry with smallest key.
- Additional methods
  - min() returns, but does not remove, an entry with smallest key
  - size(), isEmpty()
- Applications:
  - Standby flyers
  - Auctions
  - Stock market

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Total Order Relations

- Keys in a priority queue can be arbitrary objects on which an order is defined.
- Two distinct entries in a priority queue can have the same key.
- Mathematical concept of total order relation $\leq$
  - Reflexive property: $x \leq x$
  - Antisymmetric property: $x \leq y \wedge y \leq x \Rightarrow x = y$
  - Transitive property: $x \leq y \wedge y \leq z \Rightarrow x \leq z$

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Entry ADT

- An **entry** in a priority queue is simply a key-value pair.
- Priority queues store entries to allow for efficient insertion and removal based on keys.
- Methods:
  - key(): returns the key for this entry.
  - value(): returns the value associated with this entry.
- As a Java interface:

```
/**
 * Interface for a key-value
 * pair entry
 **/
public interface Entry {
   public Object key();
   public Object value();
}
```

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Comparator ADT

- A comparator encapsulates the action of comparing two objects according to a given total order relation.
- A generic priority queue uses an auxiliary comparator.
- The comparator is external to the keys being compared
- When the priority queue needs to compare two keys, it uses its comparator.

- The primary method of the Comparator ADT:
  - compare(a, b): Returns an integer i such that $i < 0$ if $a < b$, $i = 0$ if $a = b$, and $i > 0$ if $a > b$; an error occurs if a and b cannot be compared.

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Example Comparator

Lexicographic comparison of 2-D points:

```
/** Comparator for 2D points under the
    standard lexicographic order. */
public class Lexicographic implements
    Comparator {
  int xa, ya, xb, yb;
  public int compare(Object a, Object b)
   throws ClassCastException {
     xa = ((Point2D) a).getX();
     ya = ((Point2D) a).getY();
     xb = ((Point2D) b).getX();
     yb = ((Point2D) b).getY();
     if (xa != xb)
          return (xb - xa);
     else
          return (yb - ya);
  }
}
```

- Point objects:

```
/** Class representing a point in the
    plane with integer coordinates */
public class Point2D
 {
   protected int xc, yc; // coordinates
   public Point2D(int x, int y)
     {
       xc = x;
       yc = y;
     }
   public int getX()
     { return xc; }
   public int getY()
     { return yc; }
 }
```

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Priority Queue Sorting

- We can use a priority queue to sort a set of comparable elements:
  1. Insert the elements one by one with a series of insert operations.
  2. Remove the elements in sorted order with a series of removeMin operations.
- The running time of this sorting method depends on the priority queue implementation.

Algorithm *PQ-Sort(S, C)*
Input sequence S, comparator C for the elements of S
Output sequence S sorted in increasing order according to C
{ P = priority queue with comparator C ;
  while ($\neg$*S.isEmpty* ())
    { *e* = *S.removeFirst* ();
      P.insert (*e*, *0*) ; }
  while ($\neg$*P.isEmpty*())
    { *e* = *P.removeMin*().*key*();
      S.insertLast(*e*);}
}

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List-based Priority Queue

- Implementation with an unsorted list:

4 — 5 — 2 — 3 — 1

- Performance:
  - insert takes $O(1)$ time since we can insert the item at the beginning or end of the list.
  - removeMin and min take $O(n)$ time since we have to traverse the entire list to find the smallest key.

- Implementation with a sorted list:

1 — 2 — 3 — 4 — 5

- Performance:
  - insert takes $O(n)$ time since we have to find the place where to insert the item.
  - removeMin and min take $O(1)$ time, since the smallest key is at the beginning.

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Selection-Sort

- Selection-sort is the variation of PQ-sort where the priority queue is implemented with an unsorted list.
- Running time of Selection-sort:
  1. Inserting the elements into the priority queue with n insert operations takes $O(n)$ time.
  2. Removing the elements in sorted order from the priority queue with n removeMin operations takes time proportional to

$$1 + 2 + \ldots + n$$

- Selection-sort runs in $O(n^2)$ time.

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Selection-Sort Example

	List S	Priority Queue P
Input:	(7,4,8,2,5,3,9)	()
Phase 1		
(a)	(4,8,2,5,3,9)	(7)
(b)	(8,2,5,3,9)	(7,4)
..	.. ..	
.	. .	
(g)	()	(7,4,8,2,5,3,9)
Phase 2		
(a)	(2)	(7,4,8,5,3,9)
(b)	(2,3)	(7,4,8,5,9)
(c)	(2,3,4)	(7,8,5,9)
(d)	(2,3,4,5)	(7,8,9)
(e)	(2,3,4,5,7)	(8,9)
(f)	(2,3,4,5,7,8)	(9)
(g)	(2,3,4,5,7,8,9)	()

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Insertion-Sort

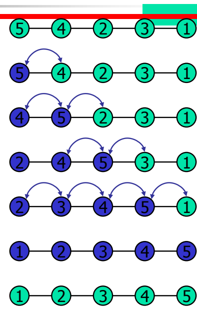
- Insertion-sort is the variation of PQ-sort where the priority queue is implemented with a sorted list.
- Running time of Insertion-sort:
  1. Inserting the elements into the priority queue with n insert operations takes time proportional to
     $$1 + 2 + \ldots + n$$
  2. Removing the elements in sorted order from the priority queue with a series of n removeMin operations takes $O(n)$ time.
- Insertion-sort runs in $O(n^2)$ time.

Insertion-Sort Example

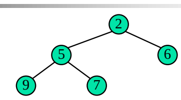
		List S	Priority queue P
Input:		(7,4,8,2,5,3,9)	()
Phase 1			
	(a)	(4,8,2,5,3,9)	(7)
	(b)	(8,2,5,3,9)	(4,7)
	(c)	(2,5,3,9)	(4,7,8)
	(d)	(5,3,9)	(2,4,7,8)
	(e)	(3,9)	(2,4,5,7,8)
	(f)	(9)	(2,3,4,5,7,8)
	(g)	()	(2,3,4,5,7,8,9)
Phase 2			
	(a)	(2)	(3,4,5,7,8,9)
	(b)	(2,3)	(4,5,7,8,9)
	..	..	..
	.	.	.
	(g)	(2,3,4,5,7,8,9)	()

In-place Insertion-sort

- Instead of using an external data structure, we can implement selection-sort and insertion-sort in-place.
- A portion of the input list itself serves as the priority queue.
- For in-place insertion-sort
  - We keep sorted the initial portion of the list.
  - We can use swaps instead of modifying the list.



Heaps



Recall Priority Queue ADT

- A priority queue stores a collection of entries.
- Each **entry** is a pair (key, value).
- Main methods of the Priority Queue ADT:
  - insert(k, x) inserts an entry with key k and value x.
  - removeMin() removes and returns the entry with smallest key.
- Additional methods:
  - min() returns, but does not remove, an entry with smallest key
  - size(), isEmpty()
- Applications:
  - Standby flyers
  - Auctions
  - Stock market

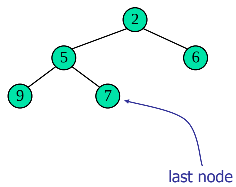
Recall Priority Queue Sorting

- We can use a priority queue to sort a set of comparable elements:
  - Insert the elements with a series of insert operations
  - Remove the elements in sorted order with a series of removeMin operations
- The running time depends on the priority queue implementation:
  - Unsorted sequence gives selection-sort: $O(n^2)$ time
  - Sorted sequence gives insertion-sort: $O(n^2)$ time
- Can we do better?

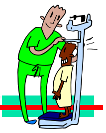
Algorithm *PQ-Sort*(S, C)
Input sequence S, comparator C for the elements of S
Output sequence S sorted in increasing order according to C
{ P = priority queue with comparator C ;
while (¬***S.isEmpty*** ())
{ ***e*** = ***S.removeFirst*** ();
P.insert (***e***, ***0***) ; }
while (¬***P.isEmpty***())
{ ***e*** = ***P.removeMin***().***key***();
S.insertLast(***e***);}
}

Heaps

- A heap is a binary tree storing keys at its nodes and satisfying the following properties:
  - Heap-Order: for every internal node v other than the root, $key(v) \geq key(parent(v))$
  - Complete Binary Tree: let h be the height of the heap
    - for $i = 0, \ldots, h-1$, there are 2^i nodes of depth i
    - at depth $h-1$, the internal nodes are to the left of the external nodes
- The last node of a heap is the rightmost node of depth h.

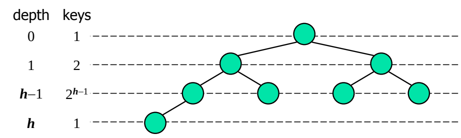


Height of a Heap



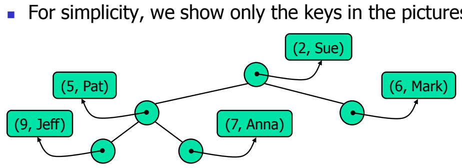
- Theorem: A heap storing n keys has height $O(\log n)$.

Proof: (we apply the complete binary tree property)
- Let h be the height of a heap storing n keys.
- Since there are 2^i keys at depth $i = 0, \ldots, h-1$ and at least one key at depth h, we have $n \geq 1 + 2 + 4 + \ldots + 2^{h-1} + 1$.
- Thus, $n \geq 2^h$, i.e., $h \leq \log n$.



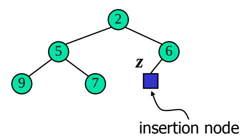
Heaps and Priority Queues

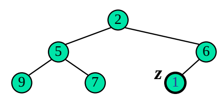
- We can use a heap to implement a priority queue.
- We store a (key, element) item at each internal node.
- We keep track of the position of the last node.
- For simplicity, we show only the keys in the pictures.



Insertion into a Heap

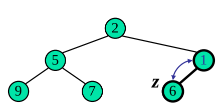
- Method insertItem of the priority queue ADT corresponds to the insertion of a key k to the heap.
- The insertion algorithm consists of three steps:
  - Find the insertion node z (the new last node)
  - Store k at z
  - Restore the heap-order property (discussed next)

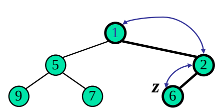




Upheap

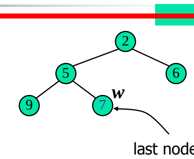
- After the insertion of a new key k, the heap-order property may be violated.
- Algorithm upheap restores the heap-order property by swapping k along an upward path from the insertion node.
- Upheap terminates when the key k reaches the root or a node whose parent has a key smaller than or equal to k.
- Since a heap has height $O(\log n)$, upheap runs in $O(\log n)$ time.

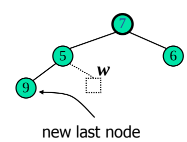




Removal from a Heap

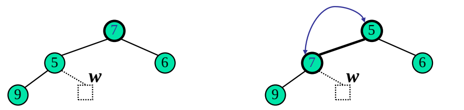
- Method removeMin of the priority queue ADT corresponds to the removal of the root key from the heap.
- The removal algorithm consists of three steps
  - Replace the root key with the key of the last node w
  - Remove w
  - Restore the heap-order property (discussed next)





Downheap

- After replacing the root key with the key k of the last node, the heap-order property may be violated.
- Algorithm downheap restores the heap-order property by swapping key k along a downward path from the root.
- Downheap terminates when key k reaches a leaf or a node whose children have keys greater than or equal to k.
- Since a heap has height $O(\log n)$, downheap runs in $O(\log n)$ time.



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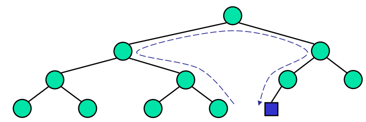
Updating the Last Node

- The insertion node can be found by traversing a path of $O(\log n)$ nodes:
  - Go up until a left child or the root is reached
  - If a left child is reached, go to the right child
  - Go down left until a leaf is reached
- Similar algorithm for updating the last node after a removal.



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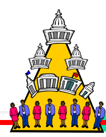
Heap-Sort



- Consider a priority queue with n items implemented by means of a heap
  - the space used is $O(n)$
  - methods insert and removeMin take $O(\log n)$ time
  - methods size, isEmpty, and min take time $O(1)$ time
- Using a heap-based priority queue, we can sort a sequence of n elements in $O(n \log n)$ time.
- The resulting algorithm is called heap-sort.
- Heap-sort is much faster than quadratic sorting algorithms, such as insertion-sort and selection-sort.

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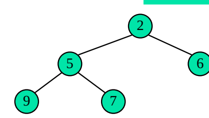
Array List-based Heap Implementation

- We can represent a heap with n keys by means of an array list of length $n + 1$.
- For the node at rank i
  - the left child is at rank $2i$
  - the right child is at rank $2i + 1$
- Links between nodes are not explicitly stored.
- The cell of rank 0 is not used..
- Operation insert corresponds to inserting at rank $n + 1$.
- Operation removeMin corresponds to removing at rank n.
- Yields in-place heap-sort.



	2	5	6	9	7
0	1	2	3	4	5

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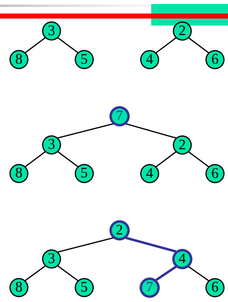
Merging Two Heaps

- We are given two two heaps and a key k.
- We create a new heap with the root node. storing k and with the two heaps as subtrees
- We perform downheap to restore the heap-order property.



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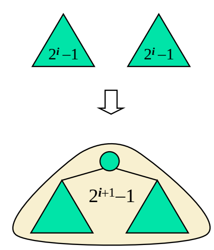
Bottom-up Heap Construction

- We can construct a heap storing n given keys in using a bottom-up construction with $\log n$ phases.
- In phase i, pairs of heaps with $2^i - 1$ keys are merged into heaps with $2^{i+1} - 1$ keys.



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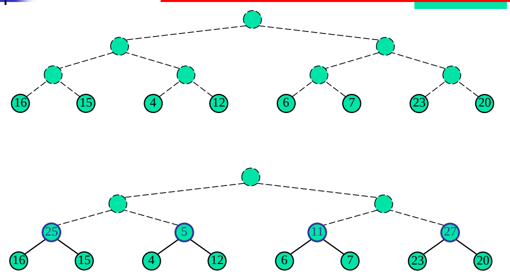
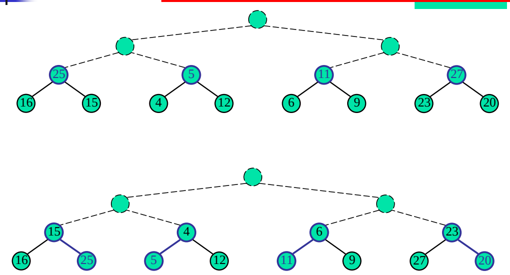
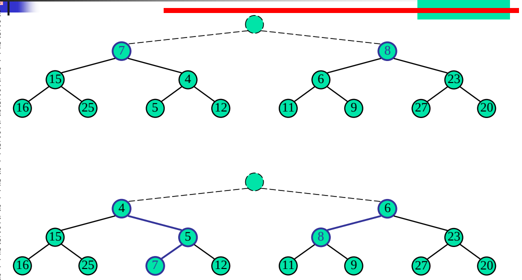
Example (1/4)



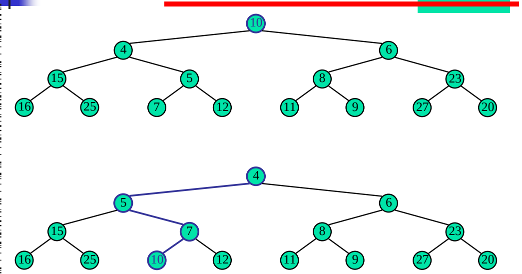
Example (2/4)



Example (3/4)

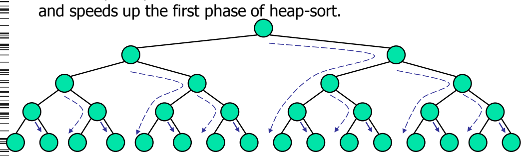


Example (4/4)

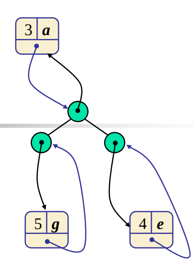


Analysis

- We visualize the worst-case time of a downheap with a proxy path that goes first right and then repeatedly goes left until the bottom of the heap (this path may differ from the actual downheap path)
- Since each node is traversed by at most two proxy paths, the total number of nodes of the proxy paths is $O(n)$.
- Thus, bottom-up heap construction runs in $O(n)$ time.
- Bottom-up heap construction is faster than n successive insertions and speeds up the first phase of heap-sort.



Adaptable Priority Queues



Recall the Entry and Priority Queue ADTs

- An **entry** stores a (key, value) pair within a data structure
- Methods of the entry ADT:
  - key(): returns the key associated with this entry
  - value(): returns the value paired with the key associated with this entry
- Priority Queue ADT:
  - insert(k, x) inserts an entry with key k and value x
  - removeMin() removes and returns the entry with smallest key
  - min() returns, but does not remove, an entry with smallest key
  - size(), isEmpty()

Motivating Example

- Suppose we have an online trading system where orders to purchase and sell a given stock are stored in two priority queues (one for sell orders and one for buy orders) as (p,s) entries:
  - The key, p, of an order is the price
  - The value, s, for an entry is the number of shares
  - A buy order (p,s) is executed when a sell order (p',s') with price p'≤p is added (the execution is complete if s'≥s)
  - A sell order (p,s) is executed when a buy order (p',s') with price p'≥p is added (the execution is complete if s'≥s)
- What if someone wishes to cancel their order before it executes?
- What if someone wishes to update the price or number of shares for their order?

Methods of the Adaptable Priority Queue ADT

- remove(*e*): Remove from *P* and return entry *e*.
- replaceKey(*e*,*k*): Replace with *k* and return the key of entry *e* of *P*; an error condition occurs if *k* is invalid (that is, *k* cannot be compared with other keys).
- replaceValue(*e*,*x*): Replace with *x* and return the value of entry *e* of *P*.

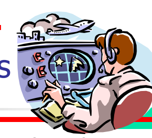
Example

Operation	***Output***	P
insert(5,A)	e_1	(5,A)
insert(3,B)	e_2	(3,B),(5,A)
insert(7,C)	e_3	(3,B),(5,A),(7,C)
min()	e_2	(3,B),(5,A),(7,C)
key(e_2)	3	(3,B),(5,A),(7,C)
remove(e_1)	e_1	(3,B),(7,C)
replaceKey(e_2,9)	3	(7,C),(9,B)
replaceValue(e_3,D)	C	(7,D),(9,B)
remove(e_2)	e_2	(7,D)

Locating Entries

- In order to implement the operations remove(k), replaceKey(e), and replaceValue(k), we need fast ways of locating an entry e in a priority queue.
- We can always just search the entire data structure to find an entry e, but there are better ways for locating entries.

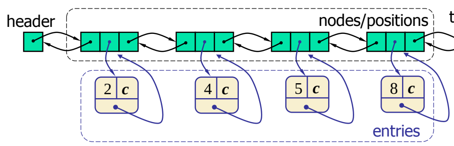
Location-Aware Entries



- A locator-aware entry identifies and tracks the location of its (key, value) object within a data structure
- Intuitive notion:
  - Coat claim check
  - Valet claim ticket
  - Reservation number
- Main idea:
  - Since entries are created and returned from the data structure itself, it can return location-aware entries, thereby making future updates easier

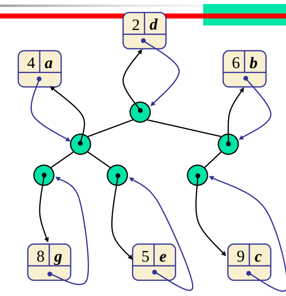
List Implementation

- A location-aware list entry is an object storing
  - key
  - value
  - position (or rank) of the item in the list
- In turn, the position (or array cell) stores the entry
- Back pointers (or ranks) are updated during swaps



Heap Implementation

- A location-aware heap entry is an object storing
  - key
  - value
  - position of the entry in the underlying heap
- In turn, each heap position stores an entry
- Back pointers are updated during entry swaps



Performance

- Using location-aware entries we can achieve the following running times (times better than those achievable without location-aware entries are highlighted in blue):

Method	Unsorted List	Sorted List	Heap
size, isEmpty	$O(1)$	$O(1)$	$O(1)$
insert	$O(1)$	$O(n)$	$O(\log n)$
min	$O(n)$	$O(1)$	$O(1)$
removeMin	$O(n)$	$O(1)$	$O(\log n)$
remove	**$O(1)$**	**$O(1)$**	**$O(\log n)$**
replaceKey	**$O(1)$**	$O(n)$	**$O(\log n)$**
replaceValue	**$O(1)$**	**$O(1)$**	**$O(1)$**

References

1. Chapter 8, Data Structures and Algorithms by Goodrich and Tamassia.