

Introduction to Algorithms

Advanced Data Structures: II

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Outline of Topics

Binomial Heaps

Fibonacci Heaps

Data Structures for Disjoint Sets

Mergeable Heap (min-heap by default)

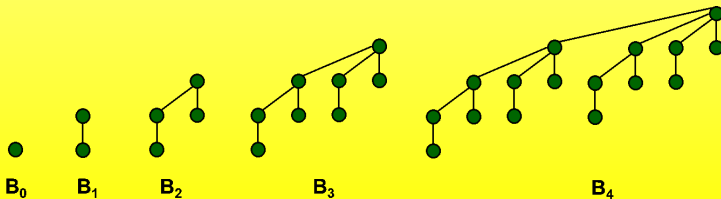
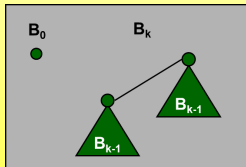
- ▶ A data structure supports the following operations:
 1. MAKE-HEAP(): Create and return a new heap containing no elements
 2. INSERT(H, x): Insert element x
 3. MINIMUM(H): Return min element
 4. EXTRACT-MIN(H): Return and delete minimum element
 5. UNION(H_1, H_2): Create and return a new heap that contains all the elements of heaps H_1 and H_2 .
- ▶ Some other operations: Decrease key of element x to k ;
Delete an element.
- ▶ Applications: Dijkstra's shortest path algorithm, Prim's MST algorithm, Event-driven simulation, Huffman encoding, Heapsort. . .

Mergeable Heap

Operation	Linked List	Heaps			
		Binary	Binomial	Fibonacci	Relaxed
make-heap	1	1	1	1	1
insert	1	$\log N$	$\log N$	1	1
find-min	N	1	$\log N$	1	1
delete-min	N	$\log N$	$\log N$	$\log N$	$\log N$
union	1	N	$\log N$	1	1
decrease-key	1	$\log N$	$\log N$	1	1
delete	N	$\log N$	$\log N$	$\log N$	$\log N$
is-empty	1	1	1	1	1

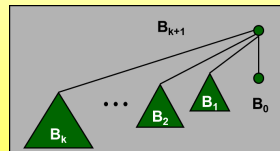
Binomial Tree

- Recursive definition: B_0 is a single node. B_k consists of 2 binomial trees B_{k-1} linked together, where the root of one subtree is the leftmost child of the other.

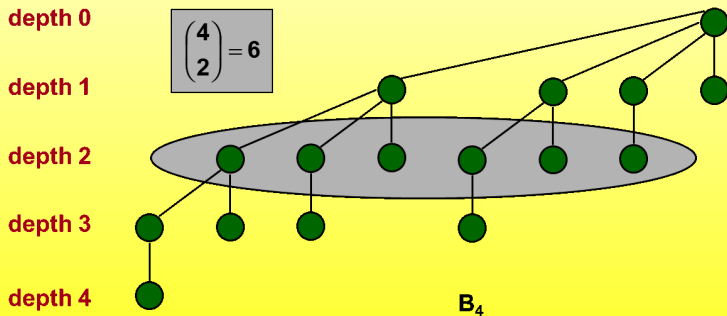


Useful Properties

- ▶ For order k binomial tree B_k
 1. Number of nodes $= 2^k$
 2. Height $= k$
 3. Degree of root $= k$
 4. Deleting root yields binomial trees B_{k-1}, \dots, B_0
 5. B_k has $\binom{k}{i}$ nodes at depth i
- ▶ Proved by induction.

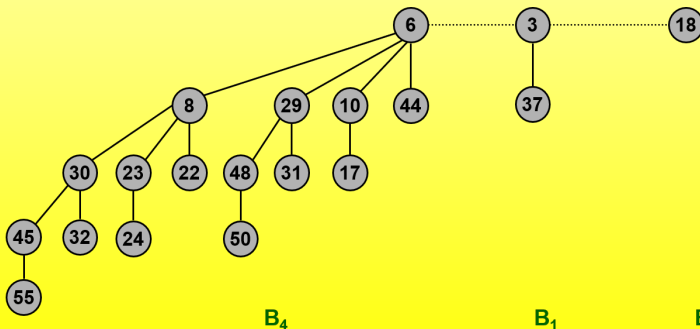


Useful Properties - Example



Binomial Heap: Overview

- ▶ Sequence of binomial trees that satisfy binomial heap property:
 1. Each tree is min-heap ordered
 2. 0 or 1 binomial tree of order k can be included.



Binomial Heap: Implementation

- ▶ Represent trees using left-child, right sibling pointers.
Three links per node: *parent*, *left* (left-most child), *right* (right sibling).
- ▶ Roots of trees connected with singly linked list.
Degrees of trees strictly increasing as we traverse the root list.

Binomial Heap: Implementation

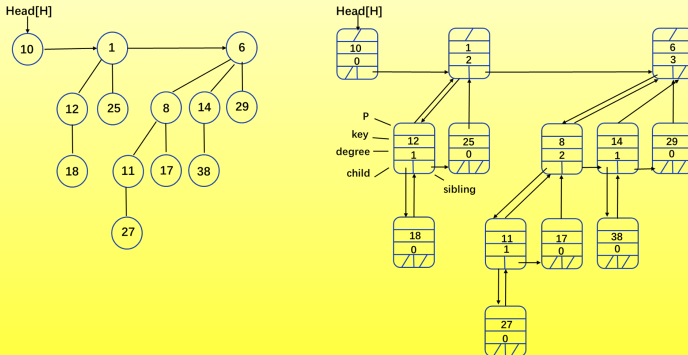
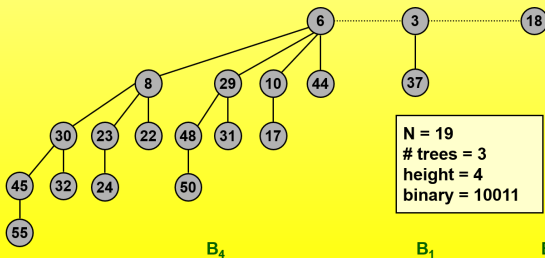


Figure: A binomial heap H and its more detailed representation. The heap consists of binomial tree B_0 , B_2 and B_3 which have 1, 4 and 8 nodes respectively.

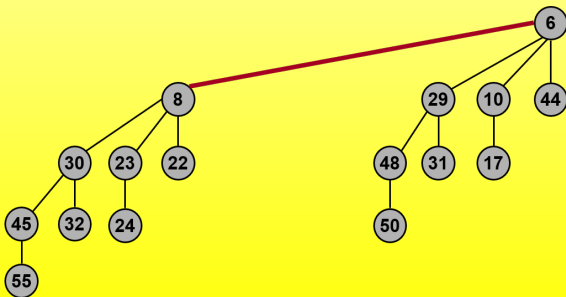
Binomial Heap: Properties

- Properties of N -node binomial heap
 1. Min key contained in root of B_0, B_1, \dots, B_k
 2. Contains binomial tree B_i iff $b_i = 1$ where $b_n \cdot b_{n-1} \dots b_0$ is binary representation of $N = \sum_{i=0}^{\lfloor \log N \rfloor} b_i 2^i$.
 3. At most $\lfloor \log N \rfloor + 1$ binomial trees.
 4. Height $\leq \lfloor \log N \rfloor$

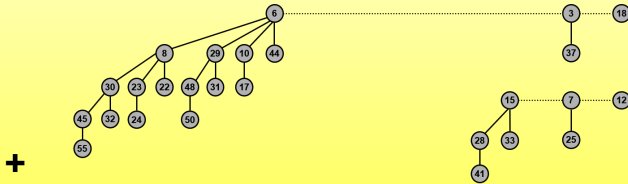


Binomial Heap: Union

- Create H that is union of heaps H' and H'' (in $O(1)$ time):
 1. "Mergeable heaps"
 2. Easy if H' and H'' are each an order k binomial tree.
 - a. connect roots of H' and H''
 - b. choose smaller key to be root of H



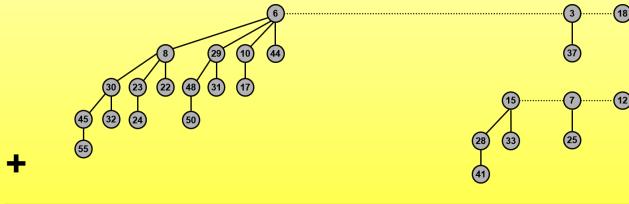
Binomial Heap: Union



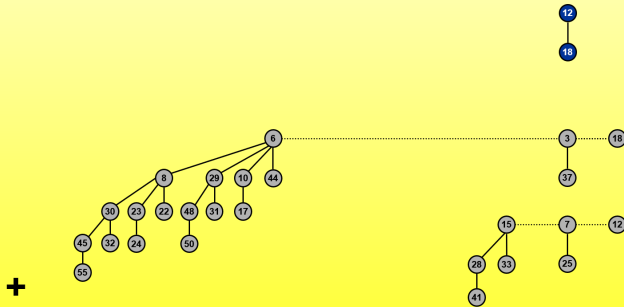
$$19 + 7 = 26$$

	1	1	1		
	1	0	0	1	1
+	0	0	1	1	1
	1	1	0	1	0

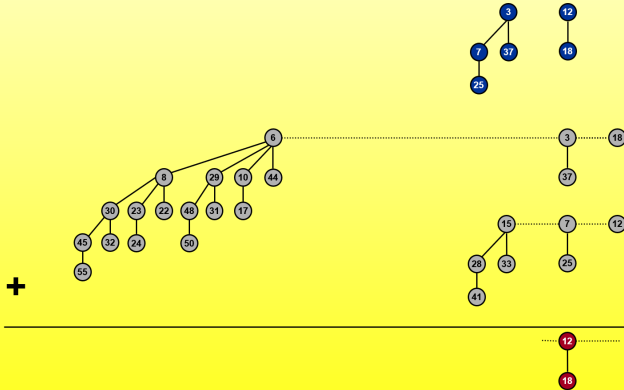
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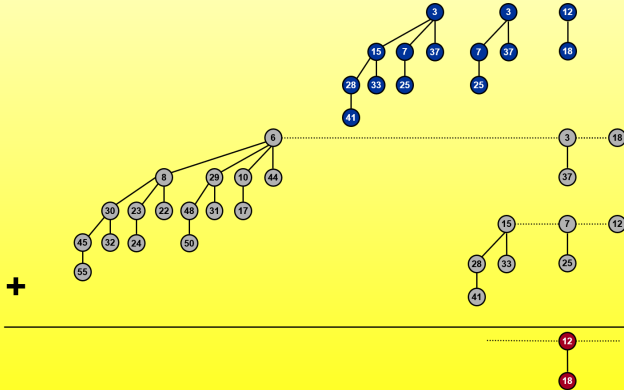
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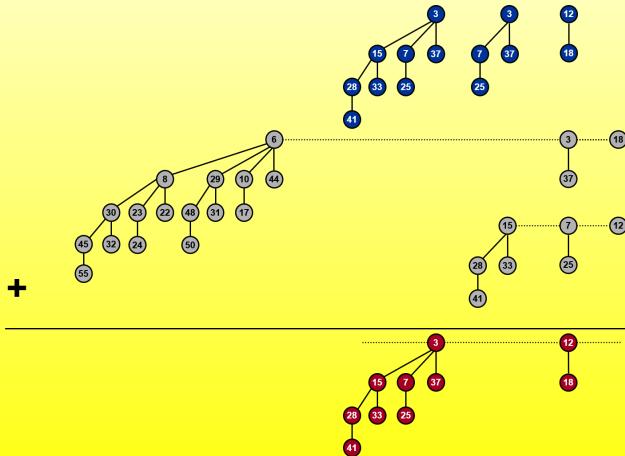
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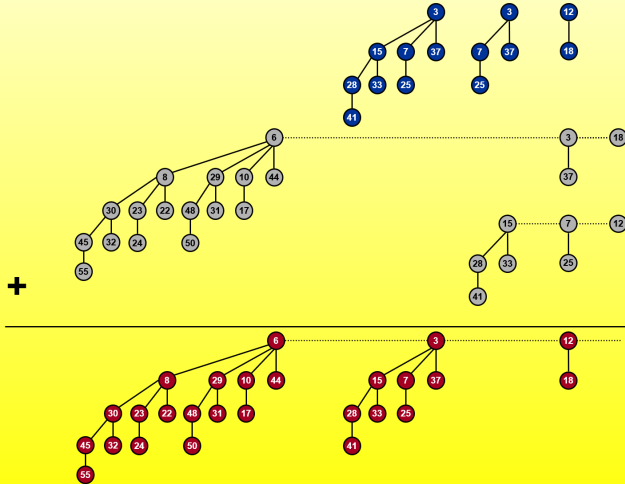
Binomial Heap: Union



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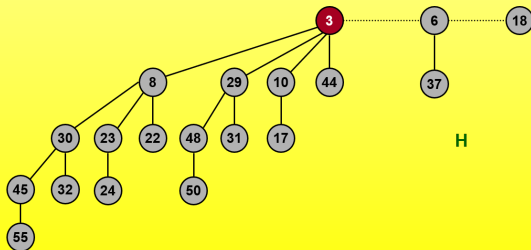


Analysis of Union

- ▶ Create heap H that is union of heaps H' and H''
Analogous to binary addition.
- ▶ Running time: $O(\log N)$
Proportional to number of trees in root lists
$$\lfloor \log N' \rfloor + 1 + \lfloor \log N'' \rfloor + 1 \leq 2(\lfloor \log N \rfloor + 1)$$

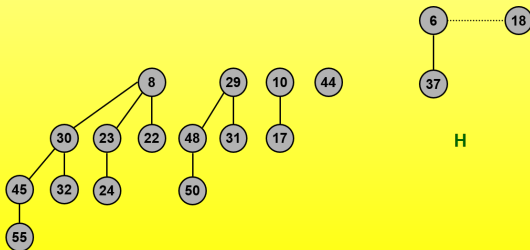
Binomial Heap: Delete Min

- ▶ Delete node with minimum key in binomial heap H :
 1. Find root x with min key in root list of H , and delete
 2. $H' \leftarrow$ broken binomial trees
 3. $H \leftarrow \text{UNION}(H', H)$
- ▶ Running time: $O(\log N)$



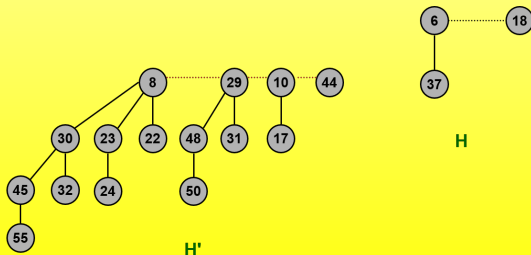
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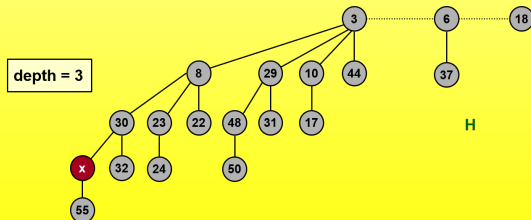
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- ▶ Running time: $O(\log N)$



Binomial Heap: Decrease Key

- ▶ Decrease key of node x in binomial heap H :
 1. Suppose x is in binomial tree B_k
 2. Bubble node x up the tree if x is too small
- ▶ Running time: $O(\log N)$
 Proportional to depth of node $x \leq \lfloor \log_2 N \rfloor$

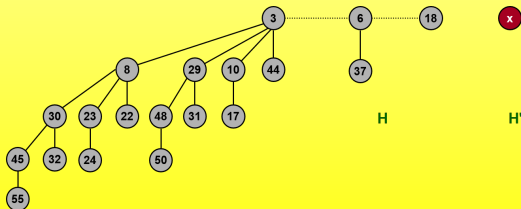


Binomial Heap: Delete

- ▶ Delete node x in binomial heap H :
 1. Decrease key of x to $-\infty$
 2. DELETEMIN
- ▶ Running time: $O(\log N)$

Binomial Heap: Insert

- ▶ Insert a new node x into binomial heap H
 1. $H' \leftarrow \text{MAKEHEAP}(x)$
 2. $H \leftarrow \text{UNION}(H', H)$
- ▶ Running time: $O(\log N)$



Recall

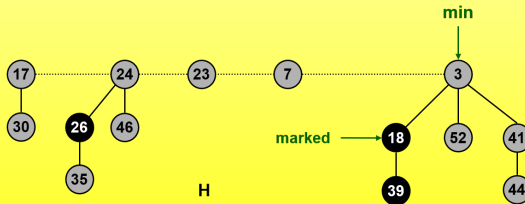
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delete-min	N	$\log N$	$\log N$	$\log N$	$\log N$
union	1	N	$\log N$	1	1
decrease-key	1	$\log N$	$\log N$	1	1
delete	N	$\log N$	$\log N$	$\log N$	$\log N$
is-empty	1	1	1	1	1

Fibonacci Heaps: Overview

- ▶ Fibonacci heap history: Fredman and Tarjan (1986)
 1. Ingenious data structure and analysis
 2. Original motivation: $O(m + n \log n)$ shortest path algorithm, also led to faster algorithms for MST, weighted bipartite matching
 3. Still ahead of its time
- ▶ Fibonacci heap intuition:
 1. Similar to binomial heaps, but less structured
 2. Decrease-key and union run in $O(1)$ time (amortized)
 3. “Lazy” unions
- ▶ Fibonacci heaps are named after the Fibonacci numbers, which are used in their running time analysis.

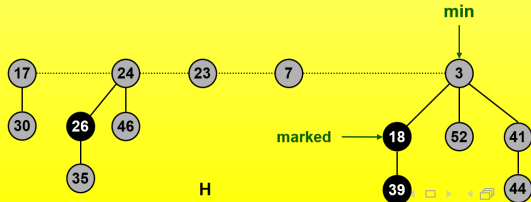
Fibonacci Heaps: Structure

- Fibonacci heap:
Set of min-heap ordered trees



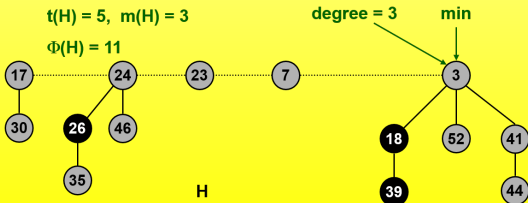
Fibonacci Heaps: Implementation

- ▶ Each node contains a pointer to its parent and a pointer to any one of its children. The children are linked together in a circular, doubly linked list:
Can quickly splice off subtrees
- ▶ Roots of trees connected with circular doubly linked list:
Fast union
- ▶ Pointer to root of tree with min element:
Fast find-min



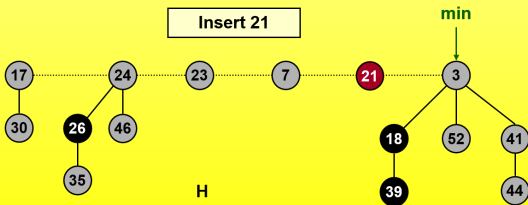
Fibonacci Heaps: Potential Function

- ▶ $Degree[x] =$ degree of node x
- ▶ $D(n) =$ max degree of any node in Fibonacci heap with n nodes
- ▶ $Mark[x] =$ mark of node x (black or gray)
- ▶ $t(H) = \#$ trees
- ▶ $m(H) = \#$ marked nodes
- ▶ $\Phi(H) = t(H) + 2m(H) =$ potential function



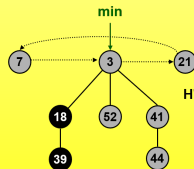
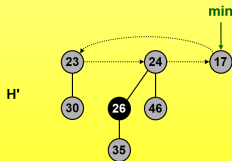
Fibonacci Heaps: Insert

- ▶ Insert:
 1. Create a new singleton tree
 2. Add to left of min pointer
 3. Update min pointer
- ▶ Running time: $O(1)$ amortized



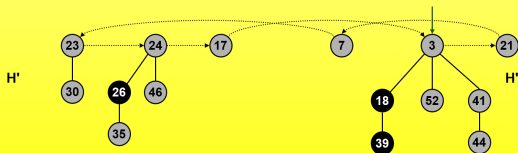
Fibonacci Heaps: Union

- Union:
 1. Concatenate two Fibonacci heaps
 2. Root lists are circular, doubly linked lists



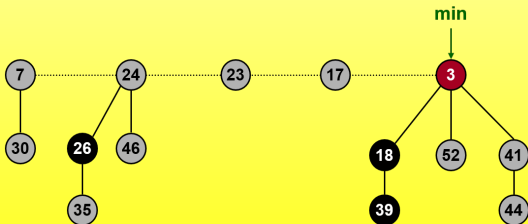
Fibonacci Heaps: Union

- ▶ Union:
 1. Concatenate two Fibonacci heaps
 2. Root lists are circular, doubly linked lists
- ▶ Concatenate the two root lists, and update the min pointer.
- ▶ Running time: $O(1)$ amortized



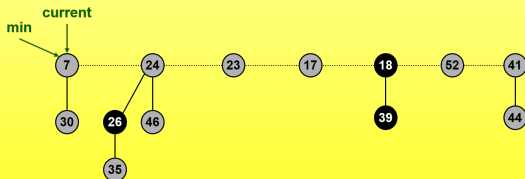
Fibonacci Heaps: Delete Min

- ▶ Delete min and concatenate its children into root list
- ▶ Consolidate trees so that no two roots have same degree



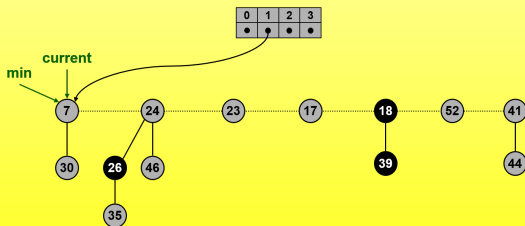
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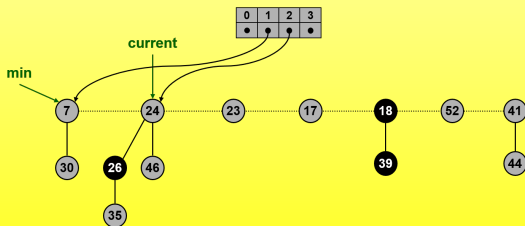
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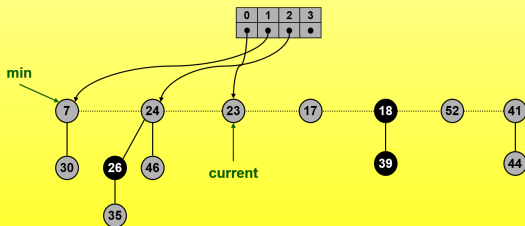
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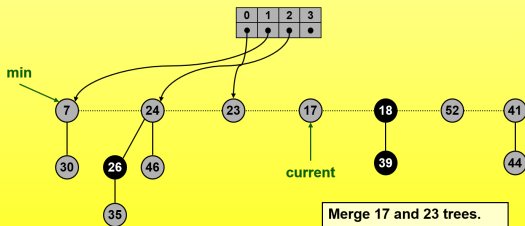
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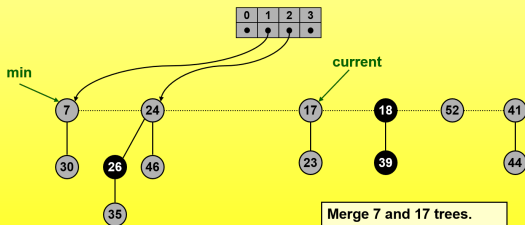
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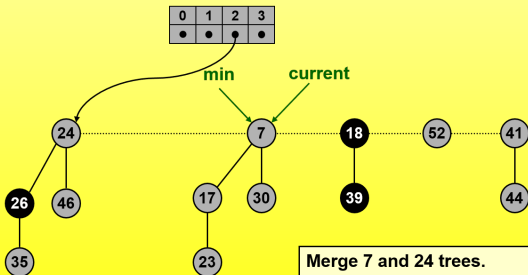
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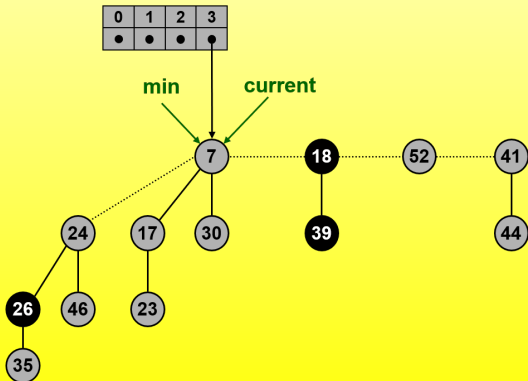
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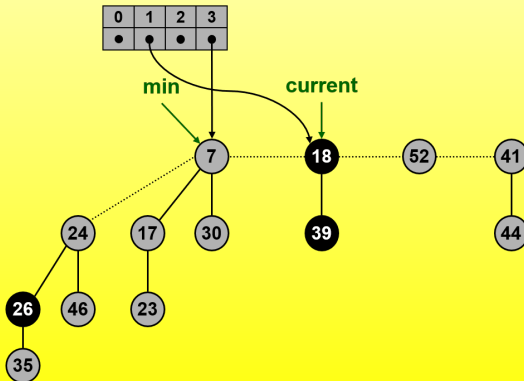
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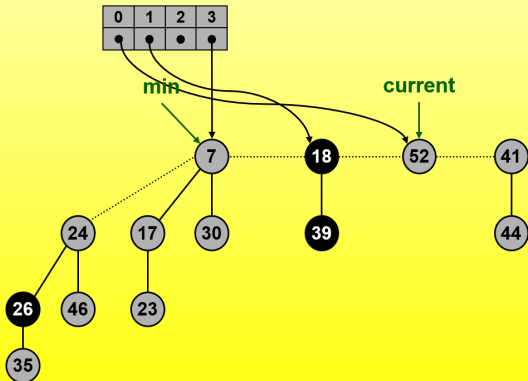
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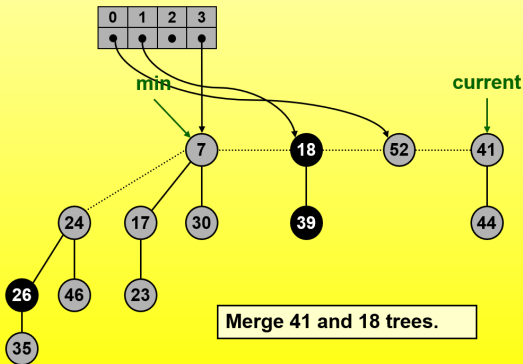
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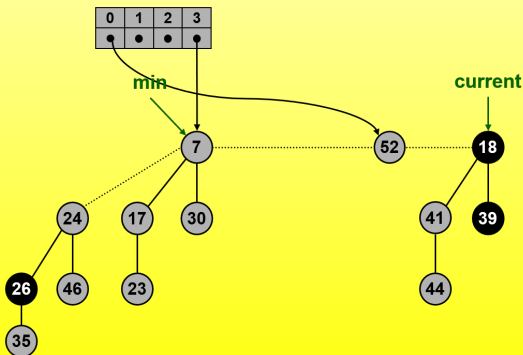
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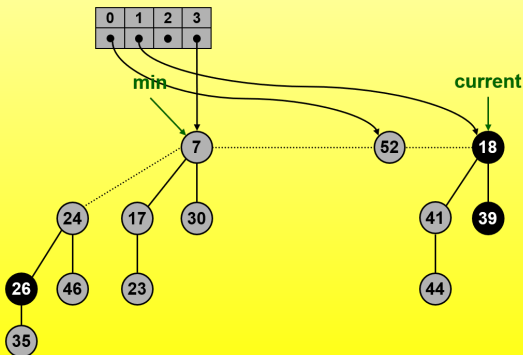
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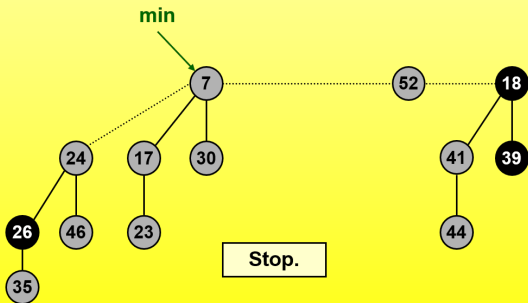
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Fibonacci Heaps: Delete Min Analysis

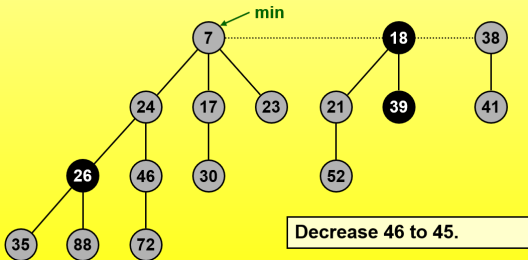
- ▶ Actual cost: $O(D(n) + t(H))$
 1. $O(D(n))$ work adding min's children into root list and updating min
 2. $O(D(n) + t(H))$ work consolidating trees
- ▶ Amortized cost: $O(D(n))$
 1. $t(H') \leq D(n) + 1$ since no two trees have same degree
 2. $\Delta\Phi(H) \leq D(n) + 1 - t(H)$

Fibonacci Heaps: Delete Min Analysis

- ▶ Is amortized cost of $O(D(n))$ good?
 1. Yes, if only Insert, Delete-min, and Union operations supported
 - a. In this case, Fibonacci heap contains only binomial trees since we only merge trees of equal root degree
 - b. This implies $D(n) \leq \lfloor \log_2 N \rfloor$
 2. Yes, if we support Decrease-key in clever way
 - a. We'll show that $D(n) \leq \lfloor \log_\phi N \rfloor$ where ϕ is golden ratio
 - b. Limiting ratio between successive Fibonacci numbers!

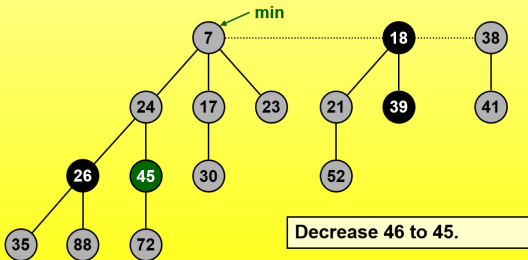
Fibonacci Heaps: Decrease Key

- **Case 0:** min-heap property not violated
 1. Decrease key of x to k
 2. Change heap min pointer if necessary



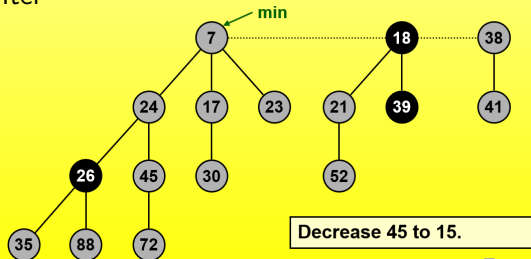
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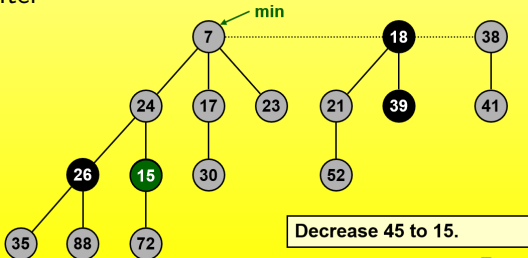
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- **Case 1:** min-heap property violated; and parent of x is unmarked
 1. Decrease key of x to k
 2. Cut off link between x and its parent
 3. Mark parent
 4. Add tree rooted at x to root list, updating heap min pointer



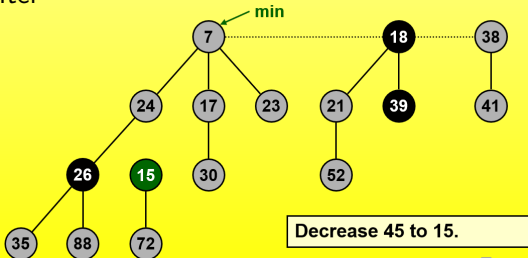
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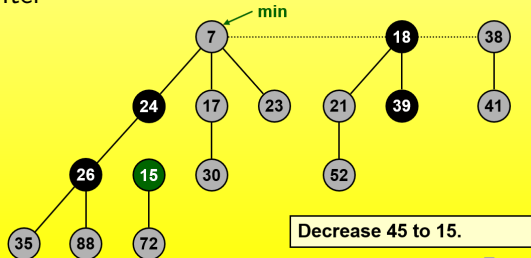
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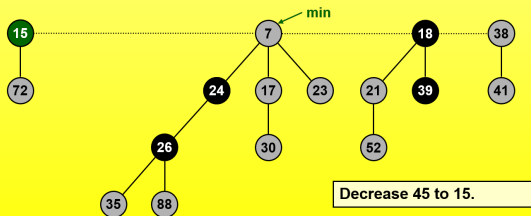
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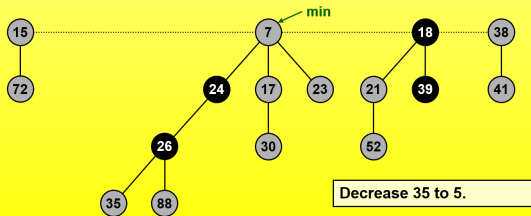
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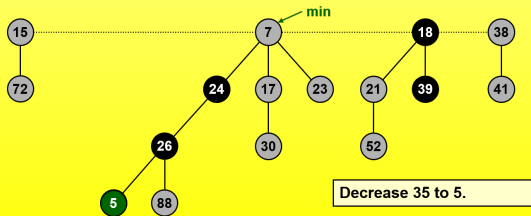
Fibonacci Heaps: Decrease Key

- **Case 2:** min-heap property violated; and parent of x is marked
 1. Decrease key of x to k
 2. Cut off link between x and its parent $p[x]$, and add x to root list
 3. Cut off link between $p[x]$ and $p[p[x]]$, add $p[x]$ to root list
 - a. If $p[p[x]]$ unmarked, then mark it
 - b. If $p[p[x]]$ marked, cut off $p[p[x]]$, unmark, and repeat



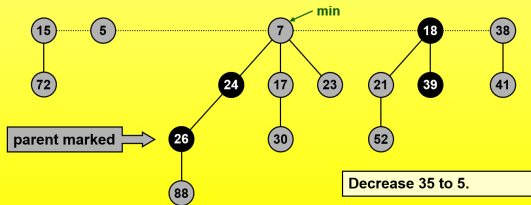
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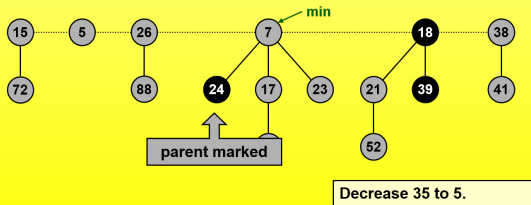
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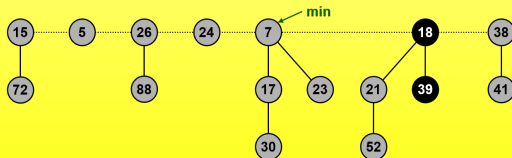
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Decrease 35 to 5.

Fibonacci Heaps: Decrease Key Analysis

- ▶ Actual cost: $O(c)$
 1. $O(1)$ time for decrease key
 2. $O(1)$ time for each of c cascading cuts, plus reinserting in root list
- ▶ Amortized cost: $O(1)$
 1. $t(H') = t(H) + c$
 2. $m(H') \leq m(H) - c + 2$
 3. $\Delta\Phi(H) \leq c + 2(-c + 2) = 4 - c$

Fibonacci Heaps: Delete

- ▶ Delete node x :
 1. Decrease key of x to $-\infty$
 2. Delete min element in heap
- ▶ Amortized cost: $O(D(n))$

Fibonacci Heaps: Bounding Max Degree

- ▶ **Key lemma:** In a Fibonacci heap with N nodes, the maximum degree of any node, denoted as $D(N)$, is at most $\log_{\phi} N$, where $\phi = \frac{(1+\sqrt{5})}{2}$.
- ▶ **Corollary:** Delete and Delete-min take $O(\log N)$ amortized time

Fibonacci Facts

- **Definition:** The Fibonacci sequence is

$$F_k = \begin{cases} 0 & \text{if } k = 0 \\ 1 & \text{if } k = 1 \\ F_{k-1} + F_{k-2} & \text{if } k > 2 \end{cases}$$

- **Fact 1:** $F_{k+2} \geq \phi^k$

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- **Fact 1:** $F_{k+2} \geq \phi^k$
Proved by induction, and $\phi^2 = \phi + 1$.
- **Fact 2:** For $k \geq 0$, $F_{k+2} = 1 + \sum_{i=0}^k F_i = 2 + \sum_{i=2}^k F_i$

Proof of Key Lemma

- **Lemma:** Let x be a node with degree k , and let y_1, \dots, y_k denote the children of x in the order in which they were linked to x . Then:

$$\text{degree}(y_i) \geq \begin{cases} 0 & \text{if } i = 1 \\ i - 2 & \text{if } i \geq 2 \end{cases}$$

- **Proof:**

1. When y_i is linked to x , y_1, \dots, y_{i-1} already linked to x ,
 $\Rightarrow \text{degree}(x) = i - 1$
 $\Rightarrow \text{degree}(y_i) = i - 1$ since we only link nodes of equal degree (in CONSOLIDATE)
2. Since then, y_i has lost at most one child (or else, CASCADING-CUT will be triggered)
3. Thus, $\text{degree}(y_i) = i - 1$ or $i - 2$

Proof of Key Lemma

► Proof of Key Lemma::

1. For any node x , we show that $\text{size}(x) \geq \phi^{\text{degree}(x)}$
 - a. $\text{size}(x) = \# \text{ node in subtree rooted at } x$
 - b. Taking base ϕ logs, $\text{degree}(x) \leq \log_{\phi}(\text{size}(x)) \leq \log_{\phi} N$
2. Let s_k be **min** size of tree rooted at any degree k node
 - a. Trivial to see that $s_0 = 1, s_1 = 2$
 - b. s_k monotonically increases with k
3. Let z be a degree k node and $\text{size}(z) = s_k$, and let y_1, \dots, y_k be children in order that they were linked to z

Proof of Key Lemma

► **Proof of Key Lemma:** :

4. Since $y_i.\text{degree} \geq i - 2$ for $i \geq 2$, we have

$$\begin{aligned}
 \text{size}(x) \geq s_k &\geq 2 + \sum_{i=2}^k s_{y_i.\text{degree}} \\
 &\geq 2 + \sum_{i=2}^k s_{i-2} \quad (\text{since } y_i.\text{degree} \geq i - 2) \\
 &\geq 2 + \sum_{i=2}^k F_i \quad (\text{prove } s_k \geq F_{k+2} \text{ by induction}) \\
 &= F_{k+2} \geq \phi^k.
 \end{aligned}$$

Data Structures for Disjoint Sets: Overview

- ▶ Some applications involve grouping n distinct elements into a collection of disjoint sets
- ▶ Two important operations are then finding which set a given element belongs to and uniting two sets
- ▶ This chapter explores methods for maintaining a data structure that supports these operations
- ▶ Application: connected components in an undirected graph, data clustering...

Disjoint-Set Operations

- ▶ Letting x denote an object, we wish to support the following operations:
 1. $\text{MAKESET}(x)$ creates a new set whose only member is x .
We require that x not already be in some other set
 2. $\text{UNION}(x, y)$ unites the dynamic sets that contain x and y , say S_x and S_y , into a new set that is the union of these two sets, then we remove sets S_x and S_y from S
 3. $\text{FINDSET}(x)$ returns a pointer to the representative of the (unique) set containing x

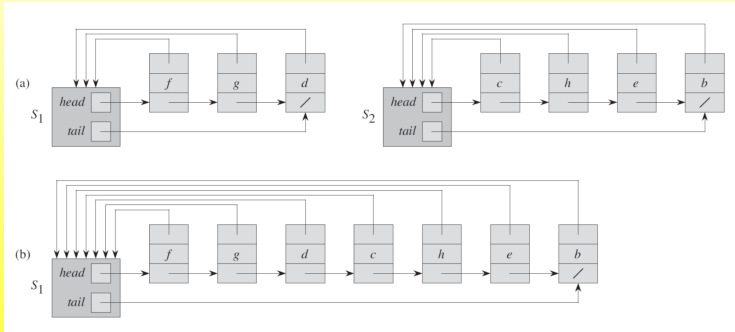
Running Time Analysis

- ▶ The running times of disjoint-set data structures shall be analyzed in terms of two parameters:
 1. n : the number of MAKESET operations
 2. m : the total number of MAKESET, UNION, and FINDSET operations
- ▶ The number of UNION operations is at most $n - 1$
- ▶ We have $m \geq n$

Linked-List Representation

- ▶ A simple way to implement a disjoint-set data structure is to represent each set by a linked list
- ▶ The first object in each linked list serves as its set's representative
- ▶ Each object in the linked list contains a set member, a pointer to the object containing the next set member, and a pointer back to the representative
- ▶ Each list maintains pointers *head*, to the representative, and *tail*, to the last object in the list

Linked-List - Example



- The result of $UNION(g, e)$, which appends the linked list containing e to the linked list containing g . The representative of the resulting set is f . The set object for S_2 is destroyed

Running Time Analysis

- ▶ Both MAKESET and FINDSET only require $O(1)$ time
- ▶ **The worst case:** suppose there are objects x_1, x_2, \dots, x_n , we first execute n MAKESET operations, then $n - 1$ UNION operations: $\text{UNION}(x_2, x_1), \dots, \text{UNION}(x_n, x_{n-1})$
 1. The n MAKESET operations takes $\Theta(n)$ time
 2. Because the i th UNION operation updates i objects, the total number of objects updated by all $n - 1$ UNION operations is

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

3. The amortized time of an operation is $\Theta(n)$

Smaller into Larger

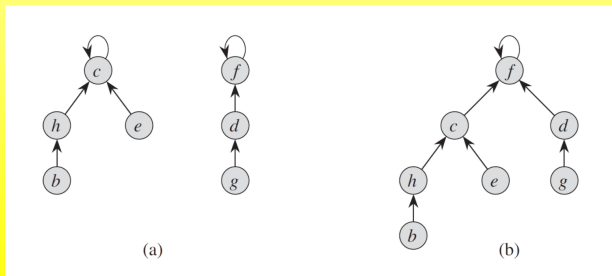
- ▶ **A weighted-union heuristic:** suppose that each list also includes the length of the list and that we always append the shorter list onto the longer, breaking ties arbitrarily
- ▶ **Theorem:** Using the linked-list representation of disjoint sets and the weighted-union heuristic, a sequence of m MAKESET, UNION, and FINDSET operations, n of which are MAKESET operations, takes $O(m + n \log n)$ time
- ▶ Proof?

Smaller into Larger

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- ▶ Proof?
For any $k \leq n$, after an object x 's pointer has been updated $\lceil \log k \rceil$ times, the resulting set must have at least k members. So, each element will at most be updated $\lceil \log n \rceil$ times in UNION operations.

Disjoint-Set Forests

- ▶ In a faster implementation of disjoint sets, we represent sets by rooted trees, with each node containing one member and each tree representing one set
- ▶ The straightforward algorithms that use this representation are no faster than ones that use the linked-list representation



Representing Sets as Trees

- ▶ **MAKESET**: create a tree with just one node
- ▶ **FINDSET**: follow parent pointers until we find the root of the tree. The nodes visited on this simple path toward the root constitute the find path
- ▶ **UNION**: cause the root of one tree to point to the root of the other

Heuristics to Improve the Running Time

- ▶ **Union by rank:** for each node, we maintain a rank, which is an upper bound on the height of the node. In union by rank, we make the root with smaller rank point to the root with larger rank during a UNION operation
- ▶ **Path compression:** we use it during FINDSET operations to make each node on the find path point directly to the root. Path compression does not change any ranks

Disjoint-Set Forests - Pseudocode I

MAKESET(x)

- 1: $p[x] \leftarrow x$
- 2: $rank[x] \leftarrow 0$

UNION(x, y)

- 1: LINK(FINDSET(x), FINDSET(y))

Disjoint-Set Forests - Pseudocode II

LINK(x, y)

```
1: if  $rank[x] > rank[y]$  then  
2:    $p[y] \leftarrow x$   
3: else  
4:    $p[x] \leftarrow y$   
5:   if  $rank[x] = rank[y]$  then  
6:      $rank[y] \leftarrow rank[y] + 1$   
7:   end if  
8: end if
```

FINDSET(x)

```
1: if  $x \neq p[x]$  then  
2:    $p[x] \leftarrow \text{FINDSET}(p[x])$   
3: end if  
4: return  $p[x]$ 
```

Running Time Analysis

- ▶ **Theorem:** In general, amortized cost is $O(\alpha(n))$, where $\alpha(n)$ grows really, really, really slow
proof: Really, really, really long
- ▶ In any conceivable application of a disjoint-set data structure, $\alpha(n) \leq 4$