

# 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)

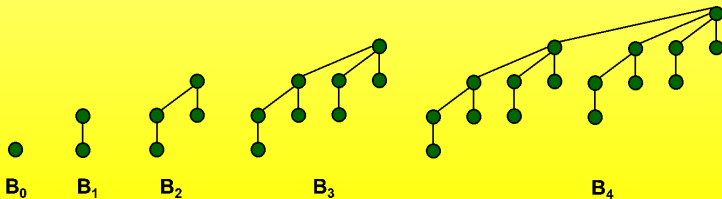
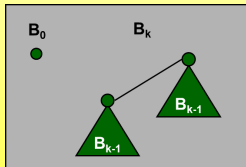
- ▶ A data structure supports the following operations:
  1. MAKE-HEAP(): Create and return a new heap containing no elements
  2. INSERT( $H, x$ ): Insert element  $x$
  3. MINIMUM( $H$ ): Return min element
  4. EXTRACT-MIN( $H$ ): Return and delete minimum element
  5. UNION( $H_1, H_2$ ): Create 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

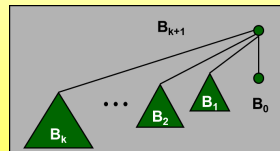
# Binomial Tree

- 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.

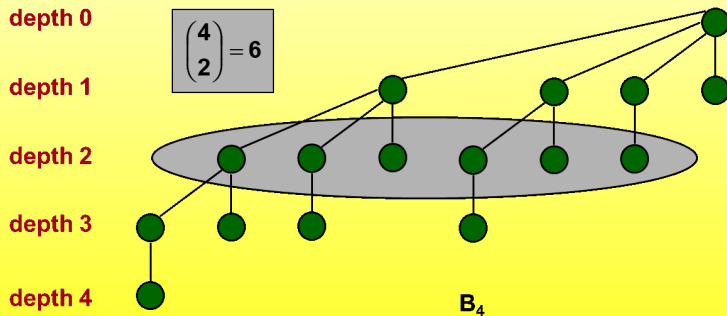


# Useful Properties

- ▶ 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.

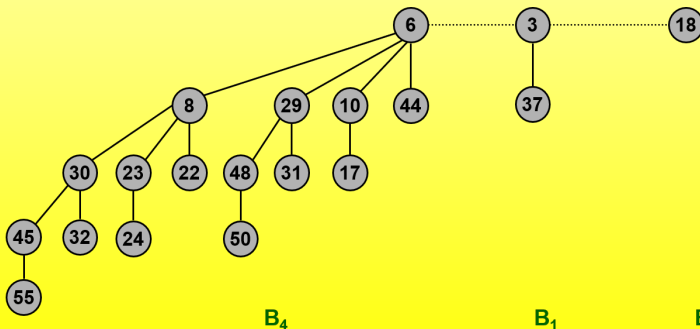


# Useful Properties - Example



# 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.

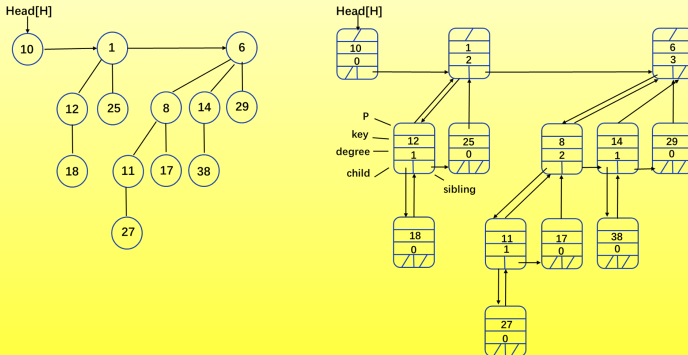




# Binomial Heap: Implementation

- ▶ 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.

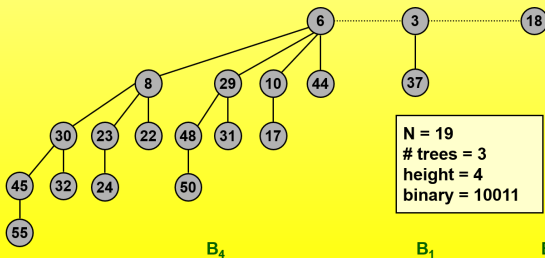
# Binomial Heap: Implementation



**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.

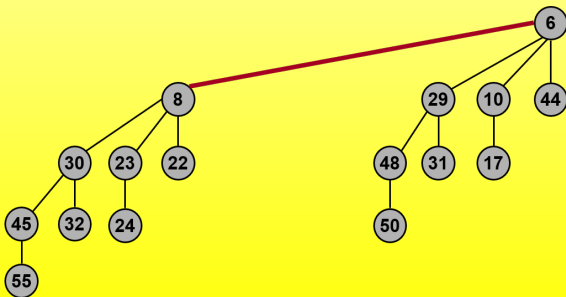
# Binomial Heap: Properties

- 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  $\leq \lfloor \log N \rfloor$

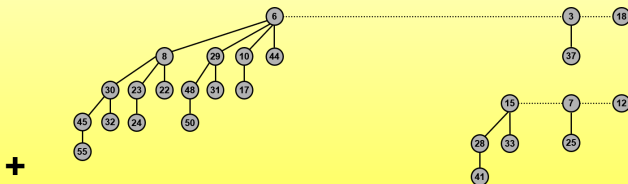


## Binomial Heap: Union

- 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  $H$



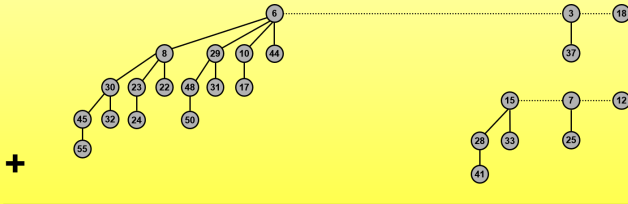
# Binomial Heap: Union



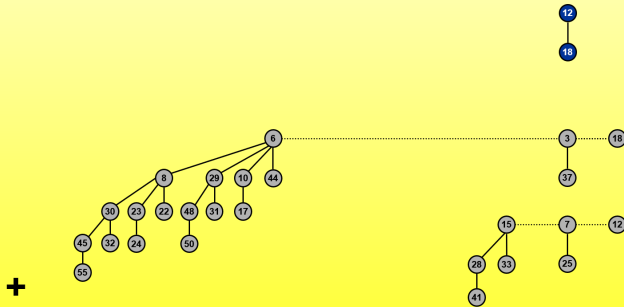
$$19 + 7 = 26$$

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

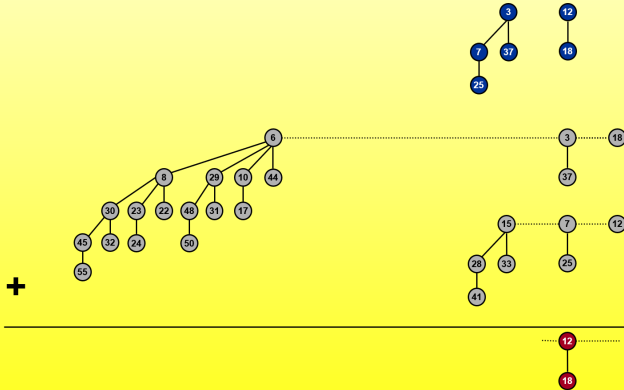
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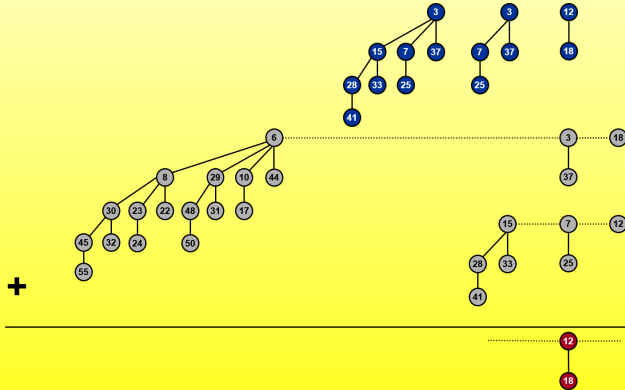


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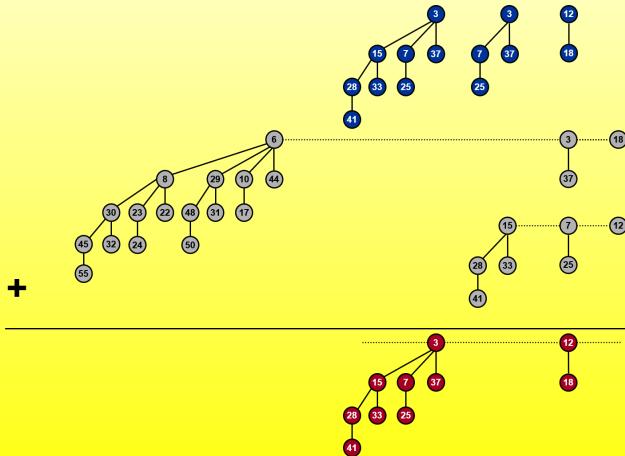




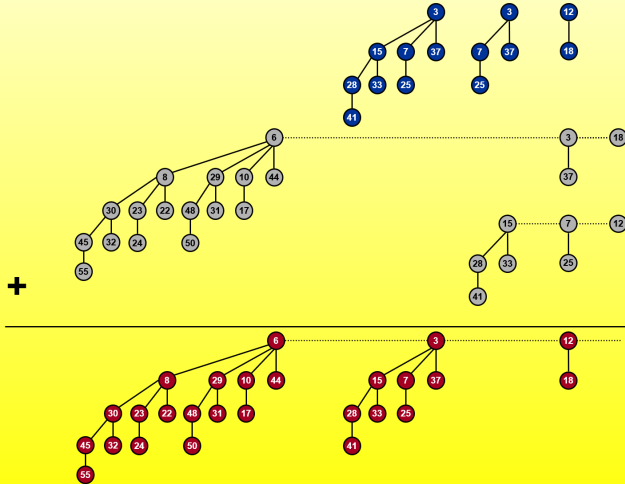
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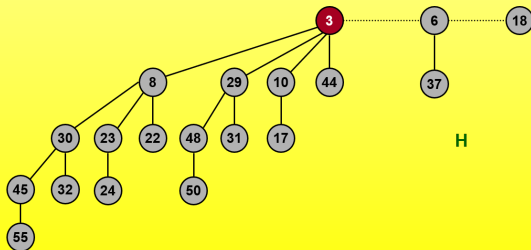


# Analysis of Union

- ▶ 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  
 $\lfloor \log N' \rfloor + 1 + \lfloor \log N'' \rfloor + 1 \leq 2(\lfloor \log N \rfloor + 1)$

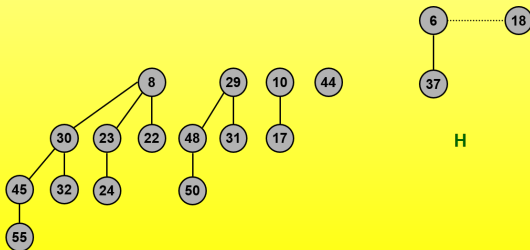
## Binomial Heap: Delete Min

- ▶ 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:  $O(\log N)$



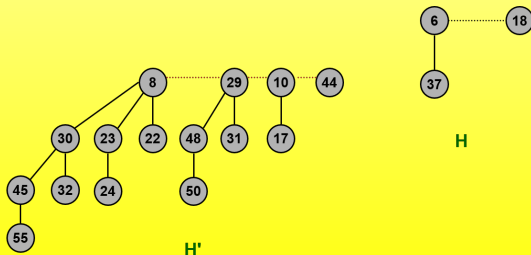
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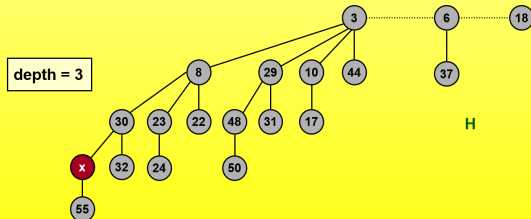
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- ▶ Running time:  $O(\log N)$



# 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  $x \leq \lfloor \log_2 N \rfloor$



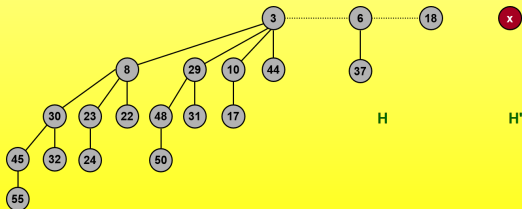


# Binomial Heap: Delete

- ▶ 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

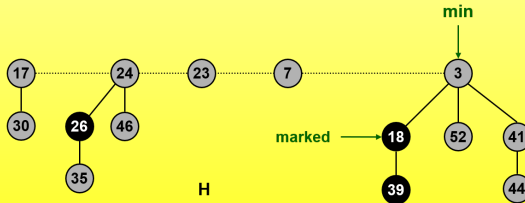
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find-min	$N$	1	$\log N$	1	1
delete-min	$N$	$\log N$	$\log N$	$\log N$	$\log N$
union	1	$N$	$\log N$	1	1
decrease-key	1	$\log N$	$\log N$	1	1
delete	$N$	$\log N$	$\log N$	$\log N$	$\log N$
is-empty	1	1	1	1	1

# 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.

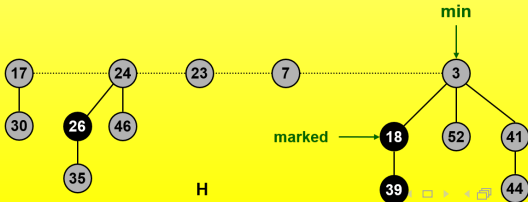
# Fibonacci Heaps: Structure

- Fibonacci heap:  
Set of min-heap ordered trees



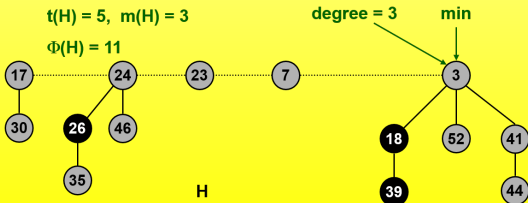
# Fibonacci Heaps: Implementation

- ▶ 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



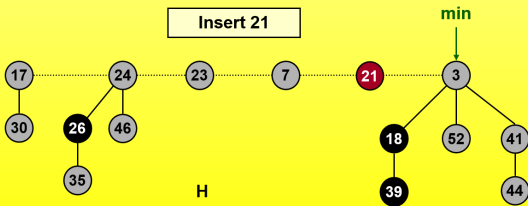
# Fibonacci Heaps: Potential Function

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



# Fibonacci Heaps: Insert

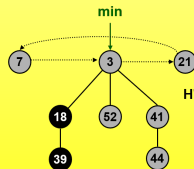
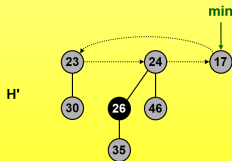
- ▶ Insert:
  1. Create a new singleton tree
  2. Add to left of min pointer
  3. Update min pointer
- ▶ Running time:  $O(1)$  amortized





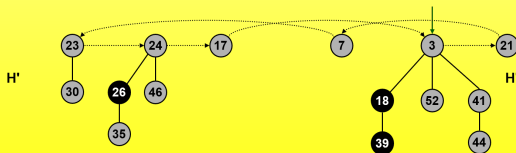
# Fibonacci Heaps: Union

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



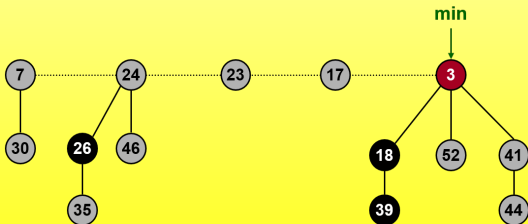
# Fibonacci Heaps: Union

- ▶ 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



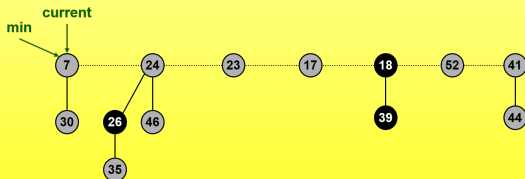
# Fibonacci Heaps: Delete Min

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



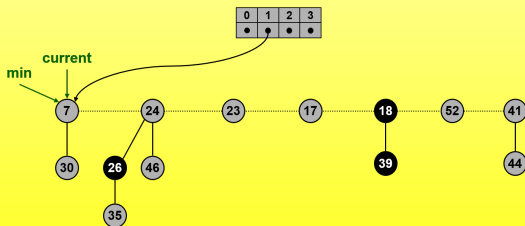
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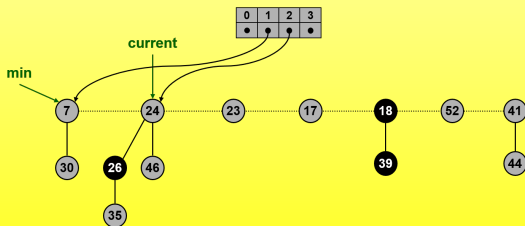
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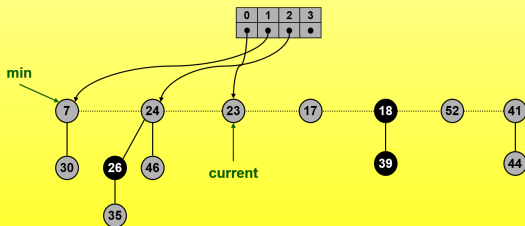
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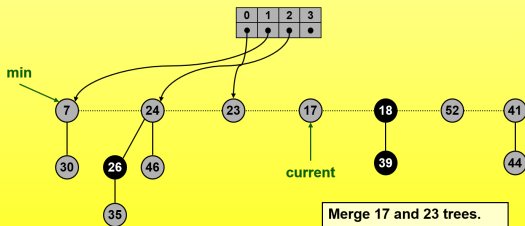
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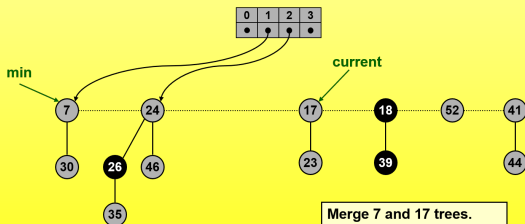
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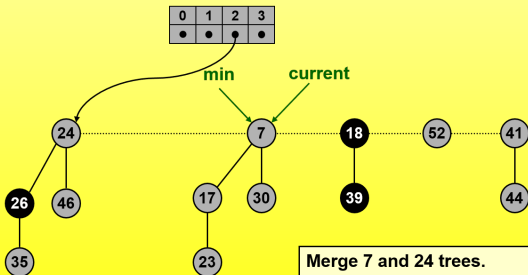
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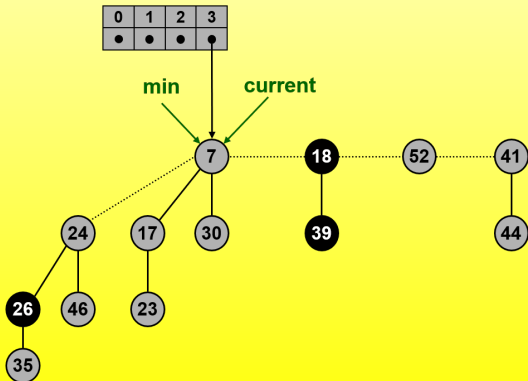
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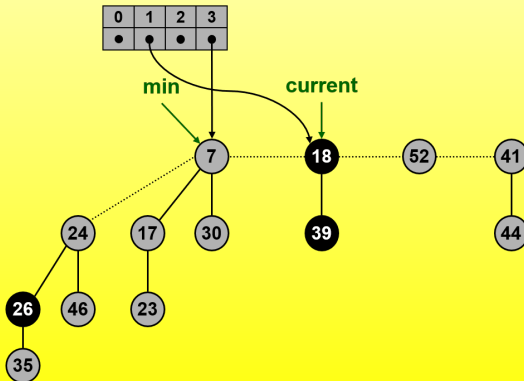
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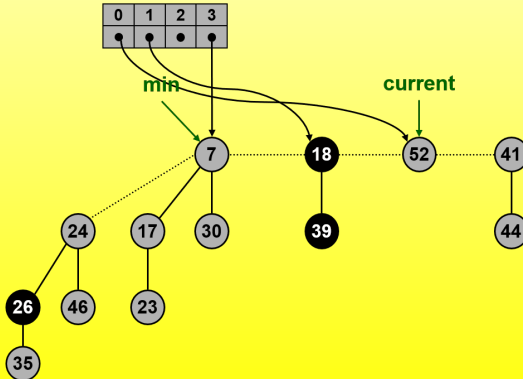
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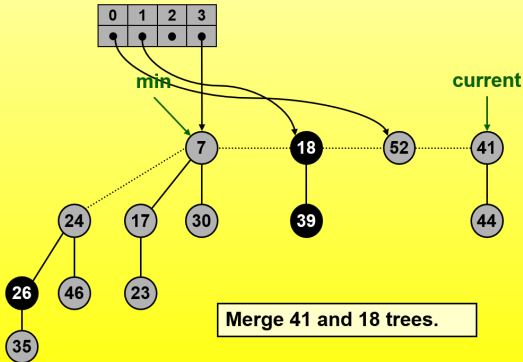
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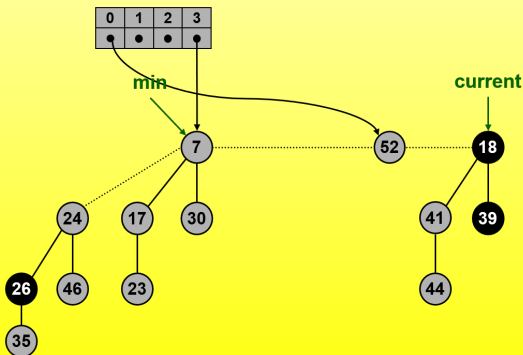
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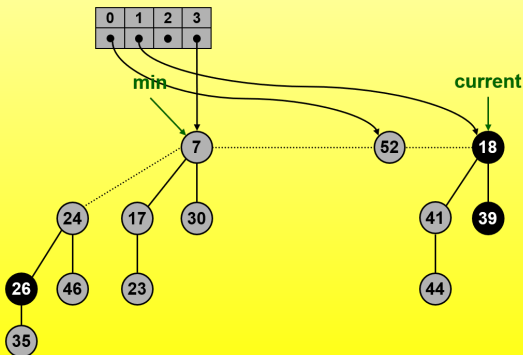
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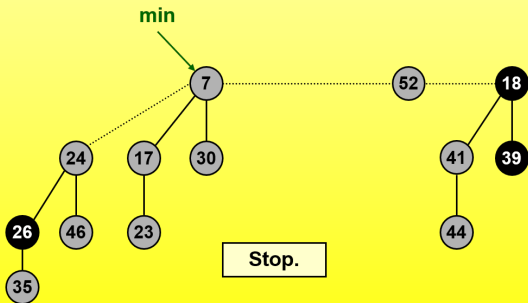
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# Fibonacci Heaps: Delete Min Analysis

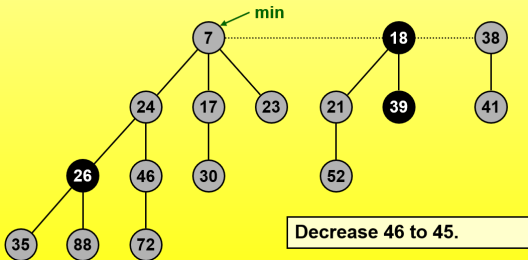
- ▶ Actual cost:  $O(D(n) + t(H))$ 
  1.  $O(D(n))$  work adding min's children into root list and updating min
  2.  $O(D(n) + t(H))$  work consolidating trees
- ▶ Amortized cost:  $O(D(n))$ 
  1.  $t(H') \leq D(n) + 1$  since no two trees have same degree
  2.  $\Delta\Phi(H) \leq D(n) + 1 - t(H)$

# 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  $\phi$  is golden ratio
    - b. Limiting ratio between successive Fibonacci numbers!

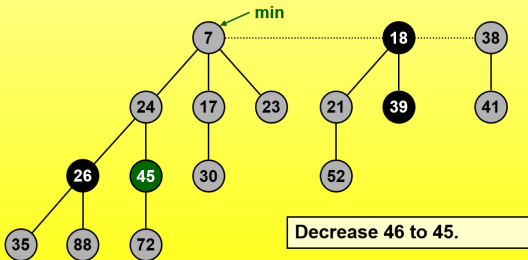
# Fibonacci Heaps: Decrease Key

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



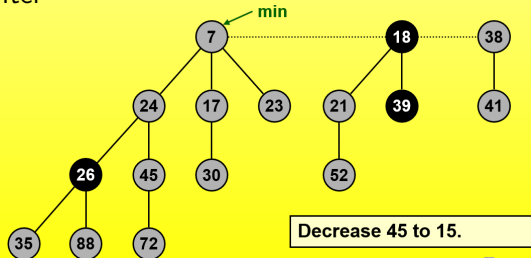
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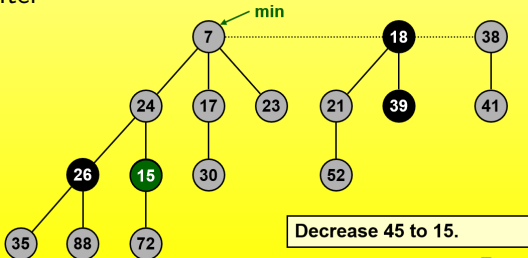
# Fibonacci Heaps: Decrease Key

- **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



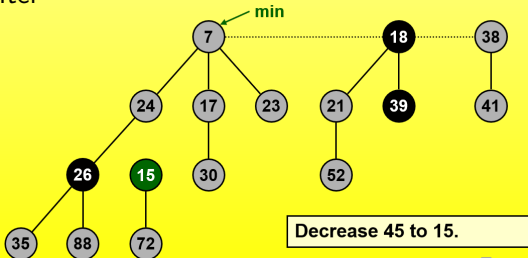
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# Fibonacci Heaps: Decrease Key

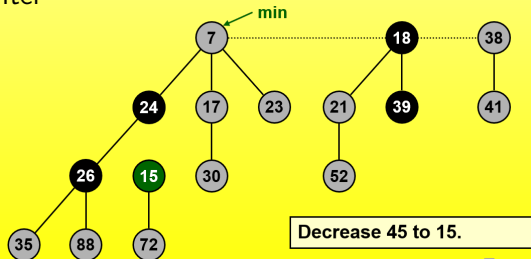
- **Case 1:** min-heap property violated; and parent of  $x$  is unmarked
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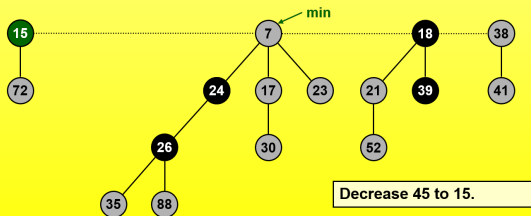
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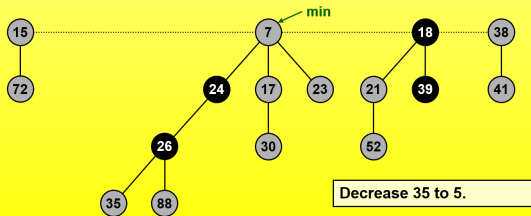
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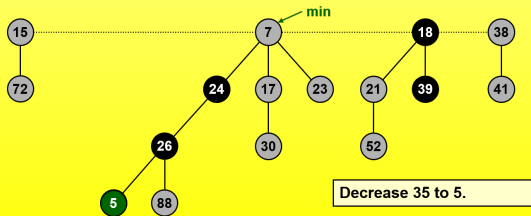
## Fibonacci Heaps: Decrease Key

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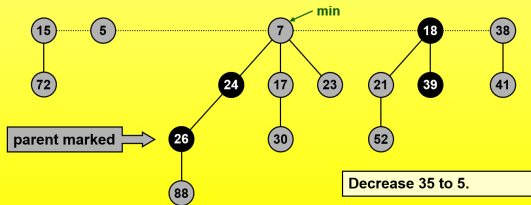
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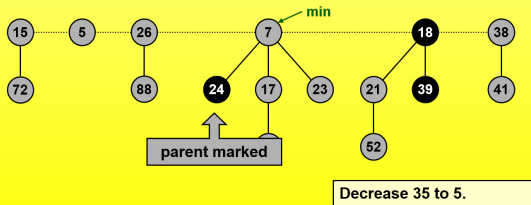
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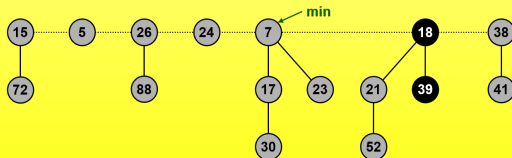
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Decrease 35 to 5.

# 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  $\phi$  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  $x$

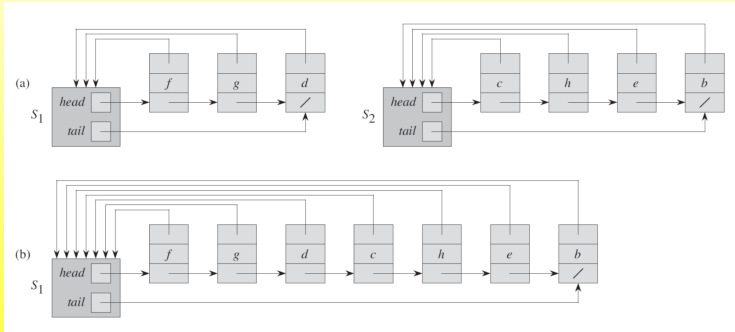
# Running Time Analysis

- ▶ 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  $\text{UNION}(g, e)$ , 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

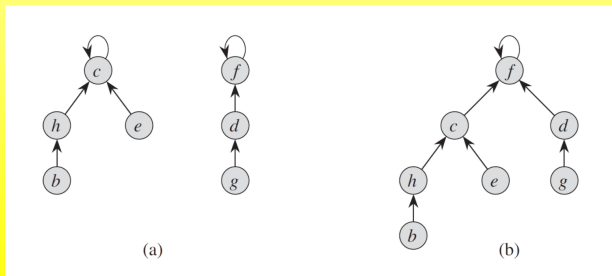
- ▶ **A weighted-union heuristic:** suppose that each list also includes the length of the list and that we always append the shorter list onto the longer, breaking ties arbitrarily
- ▶ **Theorem:** Using the linked-list representation of disjoint sets and the weighted-union heuristic, a sequence of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

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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,  $\alpha(n) \leq 4$