Advanced data structures and Applications

Pham Quang Dung and Do Phan Thuan

Computer Science Department, SoICT, Hanoi University of Science and Technology.

July 6, 2016

Outline

- Priority queues
- Disjoint Sets
- Applications
 - Dijkstra algorithm
 - ► Kruskal algorithm
 - ▶ Prim algorithm

Priority queue

- Data structure stores a set of elements, each of which is associated with a key with following operations:
 - ▶ Insert an element
 - Return an element with a minimum key
 - ► Return an element with a minimum key and remove this element from the queue
 - Decrease the key of an element
- Applications
 - Dijkstra algorithm for finding shortest paths in a graph
 - ▶ Prim algorithm for finding a minimum spanning tree of a graph
 - Heap sort
 - **.**..

Binary heaps

- Complete binary tree
 - All levels, except possibly the last one, are fully filled
 - ▶ If the last level is not fully filled, the nodes of that level are filled from left to right
- Heap property
 - ▶ The key of every node is less than or equal to the keys of its children
 - Min element is the root
 - ► Heap with *n* elements has height | *logn* |

- Use an array x[1..n]

 - leftChild(x[i]) = x[2i]
 - ightharpoonup rightChild(x[i]) = x[2i+1]
- Insert, Decrease-Key, Extract-Min: $\mathcal{O}(logn)$
- Find-Min: $\mathcal{O}(1)$

Algorithm 1: Heapify(x[1..n], k)

```
t \leftarrow x[k];
while k < n do
     c \leftarrow 2 \times k:
    if c < n \land x[c+1] < x[c] then
     c \leftarrow c + 1;
    if c < n \land t > x[c] then
       x[k] \leftarrow x[c];
    else
          BREAK;
x[k] \leftarrow t;
```

Algorithm 2: BuildMinHeap(x[1..n])

```
k \leftarrow n/2;

while k > 0 do

Heapify(x[1..n], k);

k \leftarrow k - 1;
```

```
Algorithm 3: ExtractMin(x[1..n])
```

```
return NULL;

r \leftarrow x[1];

x[1] \leftarrow x[n];

n \leftarrow n - 1;

Heapify(x[1..n], 1);

return r;
```

if n=0 then

Algorithm 4: DecreaseKey(x[1..n], k)

```
\begin{array}{l} t \leftarrow x[k]; \\ \textbf{while} \ k > 1 \ \textbf{do} \\ & p \leftarrow k/2; \\ \textbf{if} \ t < x[p] \ \textbf{then} \\ & \mid x[k] \leftarrow x[p]; \\ \textbf{else} \\ & \mid \mathsf{BREAK}; \\ & k \leftarrow p; \\ x[k] \leftarrow t; \end{array}
```

```
package week12;
import java.util.*;
public class MinHeap < AnyType extends Comparable < AnyType >> {
  private int sz:
  private AnyType[] arr; // elements are indexed from 1, 2, ... (do no
  private HashMap < AnyType, Integer > mapIndex; // map an element to it
  public MinHeap() {
    sz = 0:
    arr = (AnyType[]) new Comparable[10];
    mapIndex = new HashMap < AnyType, Integer > ();
  public MinHeap(AnyType[] L) {
    sz = L.length;
    arr = (AnyType[]) new Comparable[L.length + 1];
    System.arraycopy(L, 0, arr, 1, L.length);
    for(int i = 1; i <= L.length; i++)</pre>
      mapIndex.put(arr[i], i);
    buildHeap();
```

```
public boolean empty(){
  return sz <= 0;
private void scale() {
  AnyType[] tmp = arr;
  arr = (AnyType[]) new Comparable[arr.length * 2];
  System.arraycopy(tmp, 1, arr, 1, sz);
  for(int i = 1; i <= sz; i++)</pre>
    mapIndex.put(arr[i], i);
private void buildHeap() {
  for (int k = sz / 2; k > 0; k--) {
    heapify(k);
private void swap(int a, int b){
  AnyType tmp = arr[a]; arr[a] = arr[b]; arr[b] = tmp;
  mapIndex.put(arr[a], a);
  mapIndex.put(arr[b], b);
```

```
public void decreaseKey(AnyType e){
  int k = mapIndex.get(e);
  AnyType tmp = arr[k];
  int parent;
  for(;k > 1; k = parent){
    parent = k/2;
    if(tmp.compareTo(arr[parent]) < 0){</pre>
      arr[k] = arr[parent];
      mapIndex.put(arr[k], k);
    }else break;
  arr[k] = tmp;
  mapIndex.put(arr[k], k);
```

```
private void heapify(int k) {
  AnyType tmp = arr[k];
  int child;
  for (; 2 * k <= sz; k = child) {
    child = 2 * k;
    if (child < sz && arr[child].compareTo(arr[child + 1]) > 0)
      child++:
    if (tmp.compareTo(arr[child]) > 0){
      arr[k] = arr[child];
      mapIndex.put(arr[k], k);
    }else
      break:
  arr[k] = tmp;
  mapIndex.put(arr[k], k);
```

```
public void sort(AnyType[] L) {
  sz = L.length;
  arr = (AnyType[]) new Comparable[sz + 1];
  System.arraycopy(L, 0, arr, 1, sz);
  for(int i = 1; i <= sz; i++) mapIndex.put(arr[i], i);</pre>
  buildHeap();
  for (int i = sz; i > 0; i--) {
    swap(i,1);
    sz--;
    heapify(1);
  for (int k = 0; k < arr.length - 1; k++)
    L[k] = arr[arr.length - 1 - k];
public boolean contains(AnyType a){
  return mapIndex.get(a) != null;
```

```
public AnyType deleteMin(){
  if (sz == 0) return null;
  AnyType min = arr[1];
  arr[1] = arr[sz--];
  mapIndex.put(arr[1],1);
  heapify(1);
  return min:
}
public void insert(AnyType x) {
  if (sz == arr.length - 1) scale();
  sz++:
  int i = sz;
  for (; i > 1 & x.compareTo(arr[i / 2]) < 0; i = i / 2){
    arr[i] = arr[i / 2]:
    mapIndex.put(arr[i], i);
  arr[i] = x;
  mapIndex.put(arr[i], i);
```

Fibonacci heap

- Collection of rooted trees (min-heap ordered)
- Each node x
 - \triangleright p(x): parent of x
 - child(x): points to one of the children of x
 - Children of x are linked together in a circular (doubly linked list, called child list of x)
 - ▶ left(x) and right(x): pointers to the left and right siblings of x
 - degree(x): the number of children of x
 - mark(x): TRUE if x has lost a child since the last time x was made the child of another nodes
 - ★ A newly created node y is unmarked: mark(y) = FALSE
 - A node y becomes unmarked whenever it is made the child of another node
 - mark(.) attribute is set to FALSE when we consider the DECREASE-KEY operations

Fibonacci heap

- For each fibonacci heap H
 - The roots of all the trees are linked together into a doubly linked list, called the root list of the fibonacci heap
 - Trees may appear in any order within the root list
 - min(H) is a pointer to the root of a tree containing the minimum key (called minimum node of the fibonacci heap)
 - \triangleright n(H): the number of nodes of H
 - ► t(H): number of trees in the root list of H
 - ightharpoonup m(H): number of marked nodes of H
 - ▶ Potential function: $\Phi(H) = t(H) + 2m(H)$
- We denote D(n) the maximum degree of any node in a n-node fibonacci heap
- It will be proved that $D(n) = \mathcal{O}(\lg n)$

- Create an empty heap
- $\mathcal{O}(1)$

Algorithm 5: FIB-HEAP-MAKE()

```
n(H) \leftarrow 0;

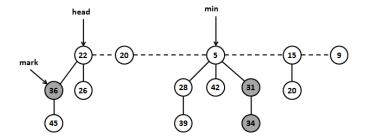
min(H) \leftarrow NIL;

t(H) \leftarrow 0;

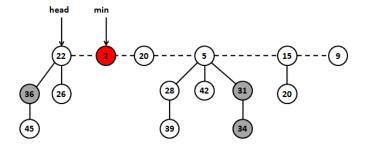
m(H) \leftarrow 0;

return H;
```

Current heap



Insert node with key = 2

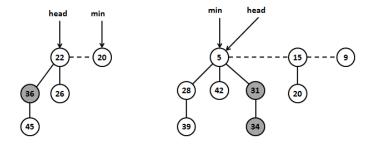


- Insert a node x to the heap H
- No consolidation as in binomial heap (lazzy)
- Analysis (H' is the resulting heap)
 - ▶ Increase in potential is t(H') + 2m(H') (t(H) + 2m(H)) = t(H) + 1 + 2m(H) (t(H) + 2m(H)) = 1
 - lacktriangledown \Rightarrow Amortized cost if $\mathcal{O}(1)+1=\mathcal{O}(1)$ (because the actual cost is $\mathcal{O}(1)$)

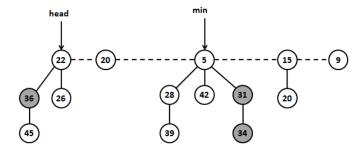
Algorithm 6: FIB-HEAP-INSERT(H, x)

```
\begin{array}{l} degree(x) \leftarrow 0; \\ p(x) \leftarrow \text{NIL}; \\ child(x) \leftarrow \text{NIL}; \\ mark(x) \leftarrow \text{FALSE}; \\ \text{if } min(H) = \textit{NIL then} \\ & \text{Create a root list for $H$ containing only $x$;} \\ min(H) \leftarrow x; \\ \text{else} \\ & \text{Insert $x$ into $H$'s root list;} \\ & \text{if } key(x) < key(min(H)) \text{ then} \\ & & \text{} min(H) \leftarrow x; \\ & & \text{} n(H) \leftarrow n(H) + 1; \end{array}
```

Two fibonacci heaps to be unified



After union

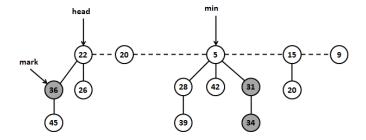


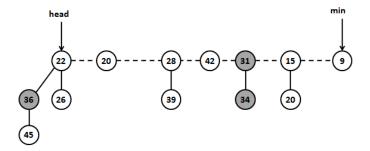
- Unify two heaps
- Analysis
 - ► Change in potential is $\Phi(H) \Phi(H_1) \Phi(H_2) = 0$
 - ▶ Since actual cost is $\mathcal{O}(1)$ ⇒ amortized cost is $\mathcal{O}(1)$

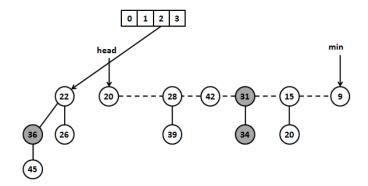
Algorithm 7: FIB-HEAP-UNION (H_1, H_2)

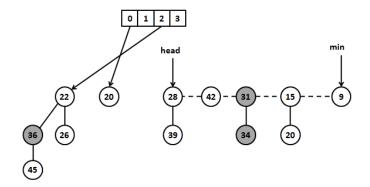
```
H \leftarrow \mathsf{FIB}\text{-}\mathsf{HEAP}\text{-}\mathsf{MAKE}(); min(H) \leftarrow min(H_1); Concatenate the root list of H_2 with the root list of H_1; if min(H_1) = \mathit{NIL} or min(H_2) \neq \mathit{NIL} and key(min(H_2)) < key(min(H_1)) then \bigsqcup min(H) \leftarrow min(H_2); n(H) \leftarrow n(H_1) + n(H_2); return H:
```

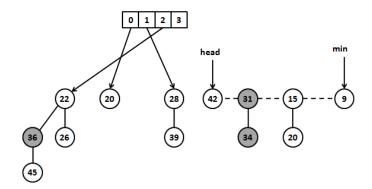
ExtractMin

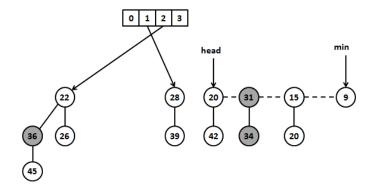


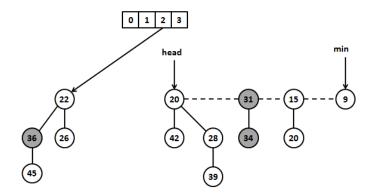


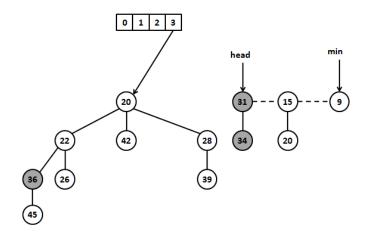


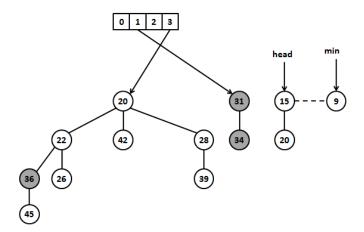


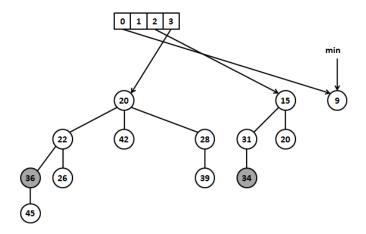


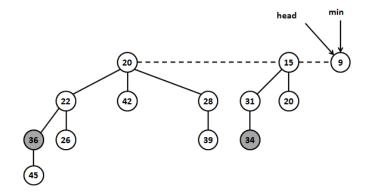












- Extracting min element (most complicated operation)
- Delayed work of consolidating trees in the root list finally occurs
 - Linking the roots of equal degree until at most one root remains of each degree

Algorithm 8: FIB-HEAP-EXTRACT-MIN(H)

```
z \leftarrow min(H);
if z \neq NIL then
\begin{array}{c|c} \text{foreach } child \times of z \text{ do} \\ & Add \times \text{to the root list of } H; \\ & p(x) \leftarrow \text{NIL}; \\ \text{Remove } z \text{ from the root list of } H; \\ \text{if } z = right(z) \text{ then} \\ & min(H) \leftarrow \text{NIL}; \\ \text{else} \\ & min(H) \leftarrow right(z); \\ & \text{CONSOLIDATE}(H); \\ & n(H) \leftarrow n(H) - 1; \end{array}
```

Algorithm 9: CONSOLIDATE(*H*)

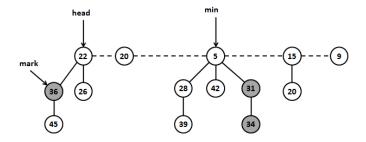
```
Let A[0..D(n(H))] be a new array;
foreach i \in \{0, \ldots, D(n(H))\} do
      A[i] \leftarrow \text{NIL};
foreach node w in the root list of H do
       x \leftarrow w:
       d \leftarrow degree(x);
       while A[d] \neq NIL do
              y \leftarrow A[d];
              if key(x) > key(y) then
                     exchange x with y;
              FIB-HEAP-LINK(H, y, x);
              A[d] \leftarrow \text{NIL};
              d \leftarrow d + 1;
       A[d] \leftarrow x;
min(H) \leftarrow NIL;
foreach i \in \{0, \ldots, D(n(H))\} do
       if A[i] \neq NIL then
              if min(H) = NIL then
                     Create a root list for H containing only A[i];
                     min(H) \leftarrow A[i];
              else
                     Insert A[i] into the root list of H;
                     if key(A[i]) < key(min(H)) then
                        min(H) \leftarrow A[i];
```

Algorithm 10: FIB-HEAP-LINK(H, y, x)

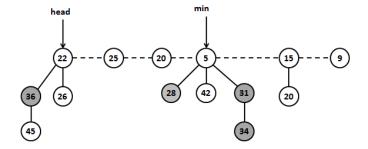
```
Remove y from the root list of H;
Make y a child of x;
degree(x) \leftarrow degree(x) + 1;
mark(y) \leftarrow FALSE;
```

- Analysis of CONSOLIDATE
 - ▶ The size of root list upon calling CONSOLIDATE is at most $\mathcal{O}(D(n)) + t(H) 1$, since it consists of t(H) nodes of the root list, minus the extracted node, plus the children of the extracted node which is $\mathcal{O}(D(n))$
 - ▶ for loop of lines 4–14
 - ★ Every time through the while loop of lines 7–13, one of the roots is linked to another
 - ★ \Rightarrow Total amount of work is proportional to D(n) + t(H)
 - for loop of lines 16–24: $\mathcal{O}(D(n))$
- \Rightarrow EXTRACT-MIN actually takes $\mathcal{O}(D(n) + t(H))$
- Potential before EXTRACT-MIN is t(H) + 2m(H) and afterward is at most D(n) + 1 + 2m(H), since at most D(n) + 1 roots remain and no nodes become marked during the operation
- Amortized cost is $\mathcal{O}(D(n) + t(H)) + (D(n) + 1 + 2m(H)) (t(H) + 2m(H)) = \mathcal{O}(D(n))$

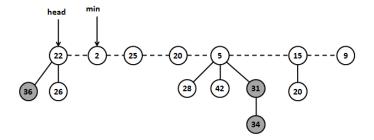
Current heap



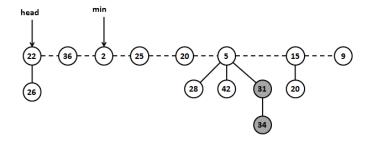
DecreaseKey of 39 to 25



DecreaseKey of 45 to 2



DecreaseKey of 45 to 2



Algorithm 11: FIB-HEAP-DECREASE-KEY(H, x, k)

```
if key(x) < k then \\ = error;
key(x) \leftarrow k;
y \leftarrow p(x);
if y \neq NIL and key(x) < key(y) then \\ CUT(H, x, y);
CASCADING-CUT(H, y);
if key(x) < key(min(H)) then \\ min(H) \leftarrow x;
```

Algorithm 12: FIB-HEAP-DELETE(H, x)

```
FIB-HEAP-DECREASE-KEY(H, x, -\infty);
FIB-HEAP-EXTRACT-MIN(H);
```

Algorithm 13: CUT(H, x, y)

```
Remove x from the child list of y; degree(y) \leftarrow degree(y) - 1; Add \times to the root list of H; p(x) \leftarrow NIL; mark(x) \leftarrow FALSE;
```

Algorithm 14: CASCADING-CUT(H, y)

```
 \begin{aligned} z &\leftarrow p(y); \\ \text{if } z &\neq NIL \text{ then} \\ & | &\text{if } mark(y) = FALSE \text{ then} \\ & | &mark(y) \leftarrow \text{TRUE}; \\ &\text{else} \\ & | &\text{CUT}(H, y, z); \\ & | &\text{CASCADING-CUT}(H, z); \end{aligned}
```

- Analysis of FIB-HEAP-DECREASE-KEY
 - Suppose that CASCADING-CUT is recursively called c times from a given invocation of FIB-HEAP-DECREASE-KEY
 - lacktriangle Each call of CASCADING-CUT takes $\mathcal{O}(1)$ exclusive of recursive call
 - lacktriangle Thus, the actual cost of FIB-HEAP-DECREASE-KEY is $\mathcal{O}(c)$
 - Change in potential
 - * Each recursive call of CASCADING-CUT, except for the last one, cuts a marked node and clear the mark bit.
 - * Afterward, there are t(H)+c trees (the original t(H) trees, c-1 trees produces by CASCADING-CUT and the tree rooted at x) and at most m(H)+c-2 marked nodes (c-1 were unmarked by CASCADING-CUT and the last call of CASCADING-CUT may have a marked node)
 - * Change in potential is at most: ((t(H) + c) + 2(m(H) + c 2)) (t(H) + 2m(H)) = 4 c
 - \star \Rightarrow amortized cost of FIB-HEAP-DECREASE-KEY is $\mathcal{O}(c) + 4 c = \mathcal{O}(1)$

Fibonacci heap - Bounding the maximum degree

Lemma

Let x be any node in a Fibonacci heap, and suppose that degree(x) = k. Let y_1, y_2, \ldots, y_k denote the children of x in the order in which they were linked to x, from the earliest to the latest. Then, $degree(y_1) \geq 0$ and $degree(y_i) \geq i-2, \forall i=2,3,\ldots,k$

Lemma

 $F_{k+2} = 1 + \sum_{i=0}^{k} F_i, \forall k \geq 0$ where F_k is the k^{th} element in the fibonacci sequence.

Lemma

 $F_{k+2} \geq \Phi^k$ where $\Phi = \frac{1+\sqrt{5}}{2}$ is a positive root of the equation $y^2 = y+1$

Fibonacci heap - Bounding the maximum degree

Lemma

Let x be any node in a fibonacci heap, and let k = degree(x). Then $size(x) \ge F_{k+2} \ge \Phi^k$ where $\Phi = \frac{1+\sqrt{5}}{2}$

Corollary

The maximum degree D(n) of any node in a n-node fibonacci heap is $\mathcal{O}(\lg n)$

Summary

Procedures	Binary heap	Fibonacci heap
	Worst case	Amortized
MAKE-HEAP	$\mathcal{O}(1)$	$\mathcal{O}(1)$
INSERT	$\mathcal{O}(\mathit{logn})$	$\mathcal{O}(1)$
MINIMUM	$\mathcal{O}(1)$	$\mathcal{O}(1)$
EXTRACT-MIN	$\mathcal{O}(\mathit{logn})$	$\mathcal{O}(\mathit{logn})$
UNION	$\mathcal{O}(n)$	$\mathcal{O}(1)$
DECREASE-KEY	$\mathcal{O}(\mathit{logn})$	$\mathcal{O}(1)$
DELETE	$\mathcal{O}(logn)$	$\mathcal{O}(\mathit{logn})$

Disjoint sets

- Each set is represented by a rooted tree
 - Each node has a pointer to its parent
 - ▶ The root of each tree contains the representative and is its own parent
- Two heuristics to achieve asymptotically optimal disjoint-set data structure
 - union by rank
 - path compression

Disjoint sets

Union by rank

- Maintain, for each node, a rank which is an upper bound on the height of the nodes
- Make the root with smaller rank point to the root with larger rank during a UNION operation.

Path compression

- Used during the FIND-SET operation to make each node on the find path point directly to the root
- Do not change any ranks

Disjoint sets - implementation

- For each node x
 - rank(x) is an upper bound on the height of x (number of edges in the longest simple path from x and its descendant leaf)
 - \triangleright p(x) is the parent of x

Algorithm 15: MAKE-SET(x)

$$p(x) \leftarrow x$$
; $rank(x) = 0$;

Algorithm 16: FIND-SET(x)

```
if x \neq p(x) then p(x) \leftarrow \text{FIND-SET}(p(x));
```

return p(x);

Disjoint sets - implementation

Algorithm 17: UNION(x, y)

LINK(FIND-SET(x),FIND-SET(y));

Algorithm 18: LINK(x, y)

if rank(x) > rank(y) then

$$p(y) \leftarrow x;$$

else

$$p(x) \leftarrow y$$
;

if
$$rank(x) = rank(y)$$
 then

 $\lfloor rank(y) \leftarrow rank(y) + 1;$

Disjoint Set - implementation

```
package week12;
import java.util.HashMap;
import java.util.Iterator;
import java.util.List;
class IElement <T> {
  int rank;
  T parent;
  IElement(T parent, int rank) {
    this.parent = parent;
    this.rank = rank;
public class DisjointSet<T> {
  private HashMap < T, IElement < T >> map = new HashMap <> ();
  public void makeSet(T e) {
    map.put(e, new IElement <T>(e, 0));
```

Disjoint Set - implementation

```
public T find(T e) {
  IElement <T> ie = map.get(e);
  if (ie == null)
    return null;
  if (e != ie.parent)
    ie.parent = find(ie.parent);
  return ie.parent;
public void union(T x, T y) {
  if(x == y) return;
 T X = find(x):
 T Y = find(y);
  if (X == null || Y == null || X == Y) return;
  IElement < T > iX = map.get(X);
  IElement <T> iY = map.get(Y);
  if (iX.rank > iY.rank)
    iY.parent = x;
  else {
    iX.parent = v;
    if (iX.rank == iY.rank)
      iY.rank++:
```

Dijkstra algorithm - implementation

```
package week13;
import java.io.File;
import java.io.PrintWriter;
import java.util.HashMap;
import java.util.HashSet;
import java.util.Scanner;
import week12.MinHeap;
import week12.Node;
public class Dijkstra {
  private HashSet < Node > V;
  private HashMap < Node , HashSet < Arc >> A;
```

Dijkstra algorithm - implementation

```
public void findPath(Node s, Node t){
  MinHeap < Node > H = new MinHeap < Node > ();
  s.kev = 0;
  for(Arc a: A.get(s)){
    Node v = a.v;
   v.kev = a.w;
    H.insert(v):
  HashSet < Node > fixed = new HashSet < Node > ();
  fixed.add(s):
  while(true){
    Node u = H.deleteMin();
    fixed.add(u):
    if(u == t) break;
    for(Arc a: A.get(u)){
      if(!fixed.contains(a.v) && a.v.key > u.key + a.w){
          a.v.kev = u.kev + a.w;
          if(!H.contains(a.v)) H.insert(a.v);
          else H.decreaseKey(a.v);
  System.out.println("Shortest distance = " + t.key);
```

Kruskal algorithm - implementation

```
package week13;
import java.io.File;
import java.util.ArrayList;
import java.util.HashMap;
import java.util.Scanner;
import java.util.HashSet;
import week12.DisjointSet;
import week12.MinHeap;
import week12.Node;
public class Kruskal {
  HashSet < Node > V:
  Edge[] E;
```

Kruskal algorithm - implementation

```
public void findMST(){
  MinHeap H = new MinHeap();
 H.sort(E);
  DisjointSet < Node > DS = new DisjointSet < Node > ();
  for (Node v: V)
    DS.makeSet(v);
  int W = 0;
  HashSet < Edge > T = new HashSet < Edge > ();
  for(int i = 0; i < E.length; i++){</pre>
    if(DS.find(E[i].u) == DS.find(E[i].v)) continue;
    T.add(E[i]):
    W += E[i].w;
    DS.union(E[i].u, E[i].v);
    if(T.size() == V.size() - 1) break;
  System.out.println("W = " + W);
```

Prim algorithm - implementation

```
package week13;
import java.io.File;
import java.io.PrintWriter;
import java.util.HashMap;
import java.util.HashSet;
import java.util.Scanner;
import week12.MinHeap;
import week12.Node;
public class Prim {
  private HashSet < Node > V;
  private HashMap < Node , HashSet < Arc >> A;
```

Prim algorithm - implementation

```
public void findMST(Node s, Node t){
  MinHeap < Node > H = new MinHeap < Node > ();
  s.key = 0;
  for(Arc a: A.get(s)){
    Node v = a.v;
   v.kev = a.w;
    H.insert(v):
  HashSet < Node > fixed = new HashSet < Node > ();
  fixed.add(s):
  int W = 0;
  while(true){
    Node u = H.deleteMin():
    W += u.kev;
    fixed.add(u);
    if(u == t) break;
    for(Arc a: A.get(u)){
      if (!fixed.contains(a.v) && a.v.key > a.w){
          a.v.kev = a.w;
          if(!H.contains(a.v)) H.insert(a.v);
          else H.decreaseKey(a.v);
```