



Data Structures

Chapter 5: Heap and Priority Queue

- 1. Heap & Priority Queue**
2. Heapsort
3. Heap & PQ Coding



하나님은 모든 사람이 구원을 받으며 진리를 아는 데에 이르기를 원하시느니라 (딤후2:4)

너희가 나를 택한 것이 아니요 내가 너희를 택하여 세웠나니 이는 너희로 가서 열매를 맺게 하고 또 너희 열매가 항상 있게 하여 내 이름으로 아버지께 무엇을 구하든지 다 받게 하려 함이라 (요15:16)

A pair of glasses with a dark frame and light-colored lenses is resting on a piece of white paper. The background is a soft, out-of-focus yellow and orange gradient.

Data Structures

Chapter 5: Heap and Priority Queue

1. Heap & Priority Queue

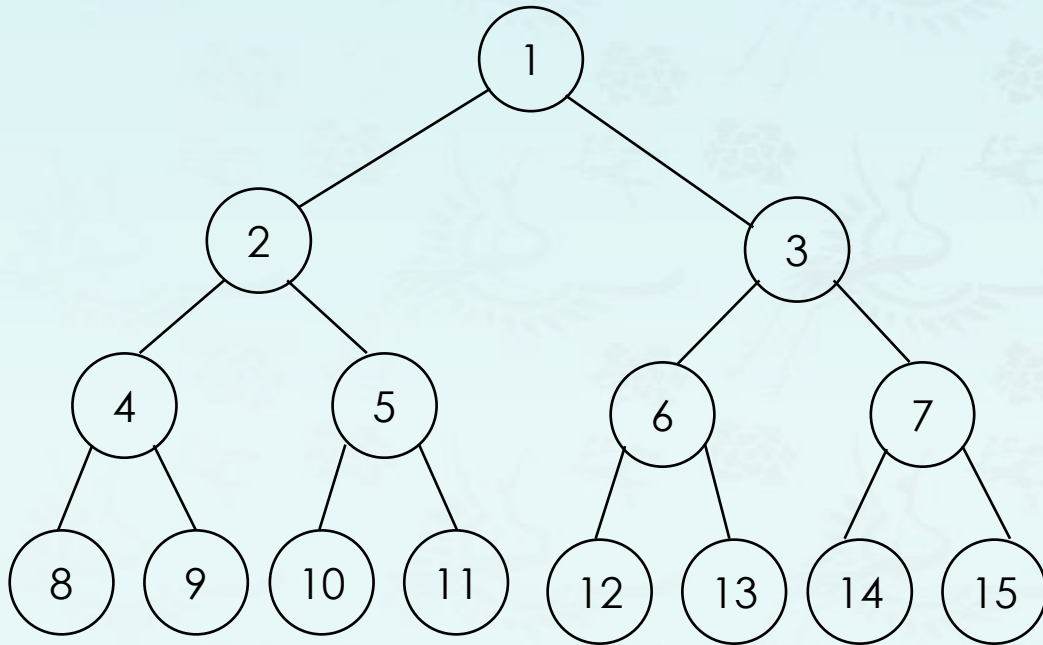
- Complete Binary Tree (Review)
- Binary Heap and Priority Queue
- Minheap and Maxheap

2. Heapsort

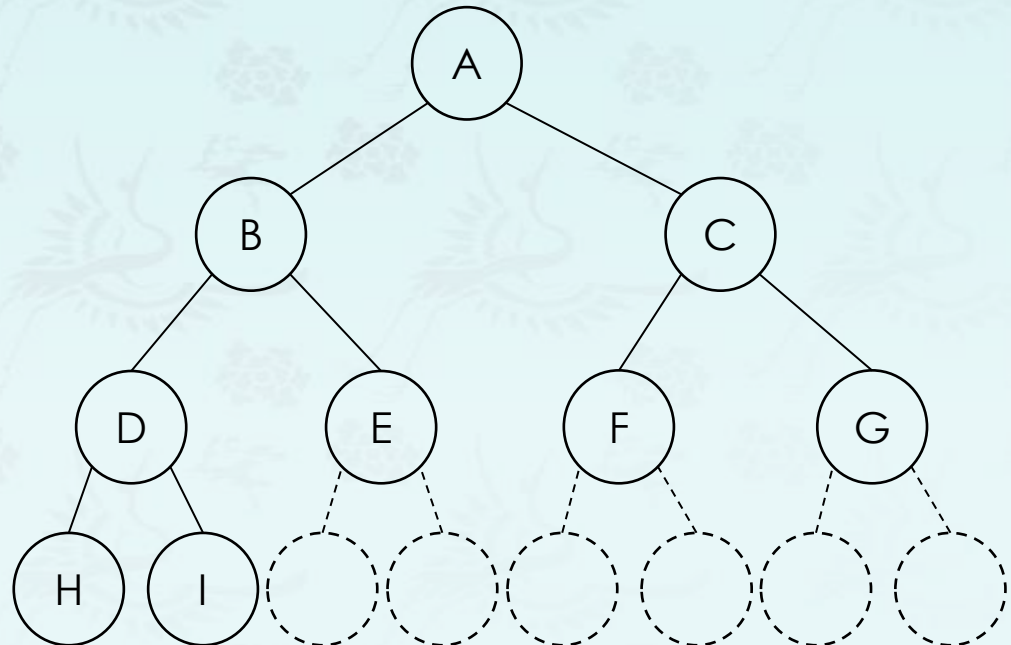
3. Heap & PQ Coding

Binary trees - Properties

- **Definition:** A **full** binary tree of level k is a binary tree having $2^k - 1$ nodes, $k \geq 0$.
- **Definition:** A binary tree with n nodes and level k is **complete** iff its nodes correspond to the nodes numbered from 1 to n in the full binary tree of level k .



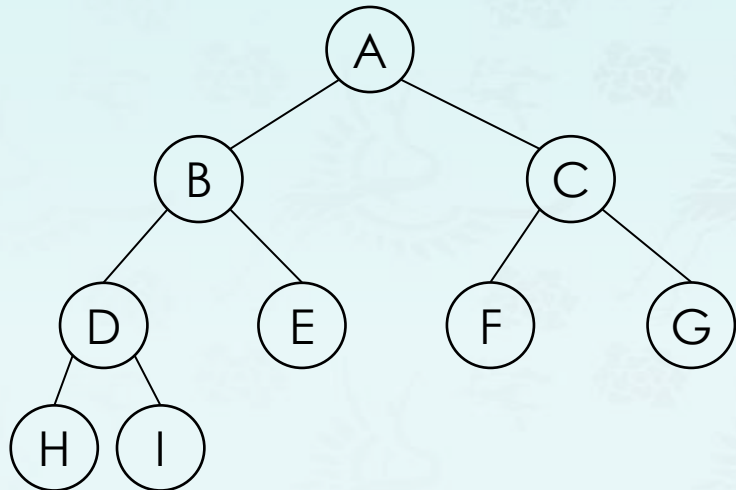
A **full** binary tree



A **complete** binary tree

Binary trees - Array representation

- **Q:** Let's suppose that you have a **complete binary tree** in an array. Find its parent, left child and right child at node D.



[0]	-
[1]	A
[2]	B
[3]	C
[4]	D
[5]	E
[6]	F
[7]	G
[8]	H
[9]	I

Solution:

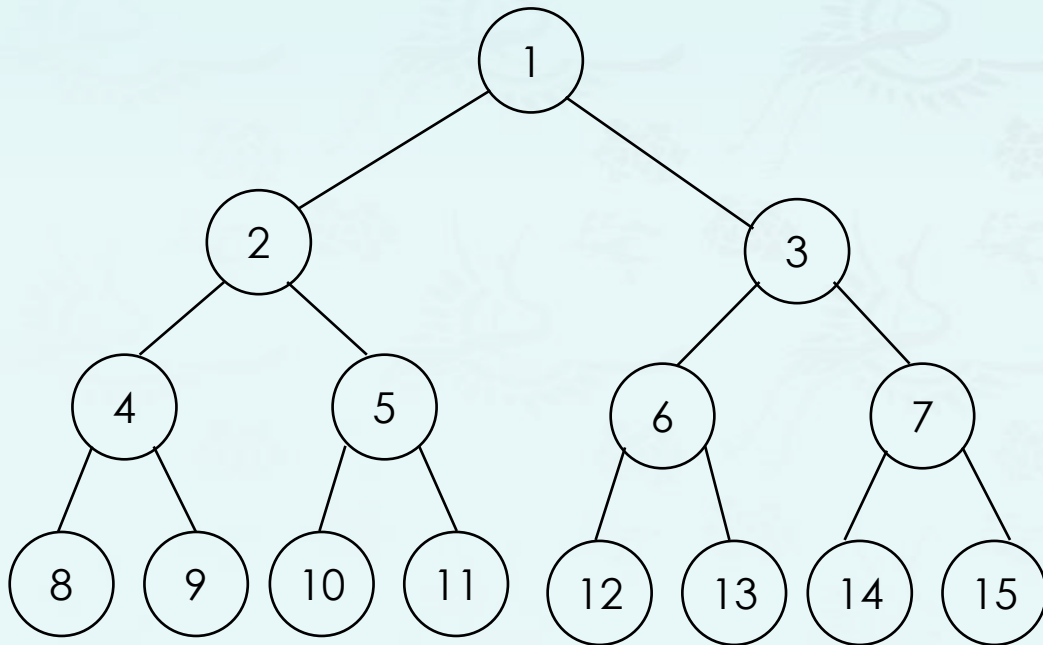
$\text{parent}(x = 4)$ is at $4/2 = 2$

$\text{leftChild}(4)$ is at $2 \times 4 = 8$

$\text{rightChild}(4)$ is at $2 \times 4 + 1 = 9$

Binary trees - Array representation

- **Q:** Let's suppose that you have a **complete binary tree** in an array, how can we locate node x 's parent or child?
- A **complete** binary tree with n nodes, any node index i , $1 \leq i \leq n$, we have
 - $\text{parent}(i)$ is at $\lfloor i/2 \rfloor$ If $i = 1$, i is at the root and has no parent
 - $\text{leftChild}(i)$ is at $2i$ if $2i \leq n$. If $2i > n$, then i has no left child.
 - $\text{rightChild}(i)$ is at $2i+1$ if $2i+1 \leq n$. If $2i+1 > n$, then i has no right child.



Wow! Can we use this to all binary trees?
Why not?

Problem remains:

The problem with storing an arbitrary binary tree using an array is the inefficiency in memory usage.

Heaps & Priority Queues

- **Heaps** are frequently used to implement **priority queues**.
 - Because it provides an efficient implementation for **priority queues**.
- **Priority queues**.
 - Queues with priorities associated to.
 - **Example:** A line waiting to be served at a bank and served FIFO except if a senior or a disabled person arrives in the line. They are served first. Seniors and disabled persons have higher priority than others.
- **A typical ADT for Priority Queue**
 - Get the top priority element (min or max)
 - Insert an element
 - Delete the top priority element
 - Decrease the priority of an element

- $O(1)$
- $O(\log n)$
- $O(\log n)$
- $O(\log n)$

Heaps & Priority Queues

Priority queue applications

- Event-driven simulation. [customers in a line, colliding particles]
- Numerical computation. [reducing round-off error]
- Data compression. [Huffman codes]
- Graph searching. [Dijkstra's algorithm, Prim's algorithm]
- Number theory. [sum of powers]
- Artificial intelligence. [A* search]
- Statistics. [maintain largest M values in a sequence]
- Operating systems. [load balancing, interrupt handling]
- Discrete optimization. [bin packing, scheduling]
- Spam filtering. [Bayesian spam filter]

Heaps & Priority Queues

- Challenge: Find the largest **M** items in a stream of **N** items.

- Fraud detection: isolate \$\$ transactions.
- Hacking: KT's customer DB access by their sales agents
- File maintenance: find biggest files, directories, or emails.

N huge, M large
 $N \gg M$

- Constraints: Not enough memory to store N items.

%more trans.txt

Turing	6/17/1990	644.08
vonNeumann	3/26/2002	4121.85
Dijkstra	8/22/2007	2678.40
vonNeumann	1/11/1999	4409.74
Dijkstra	11/18/1995	837.42
Hoare	5/10/1993	3229.27
vonNeumann	2/12/1994	4732.35
Hoare	8/18/1992	4381.21
Turing	1/11/2002	66.10
Thompson	2/27/2000	4747.08
Turing	2/11/1991	2156.86
Hoare	8/12/2003	1025.70
vonNeumann	10/13/1993	2520.97
Dijkstra	9/10/2000	708.95
Turing	10/12/1993	3532.36
Hoare	2/10/2005	4050.20

%java TopM 5 < trans.txt

Thompson	2/27/2000	4747.08
vonNeumann	2/12/1994	4732.35
vonNeumann	1/11/1999	4409.74
Hoare	8/18/1992	4381.21
vonNeumann	3/26/2002	4121.85

Sort key

Heaps & Priority Queues

- Challenge: Find the largest M items in a stream of N items.
- Constraints: Not enough memory to store N items.

N huge, M large
 $N \gg M$

Order of growth of finding the largest M **in a stream of N items**

implementation	time	space
sort	$N \log N$	N
binary heap	$N \log M$	M
best in theory	N	M

Heaps & Priority Queues

- Challenge: Find the largest M items in a stream of N items.
- Constraints: Not enough memory to store N items.

N huge,
 M large

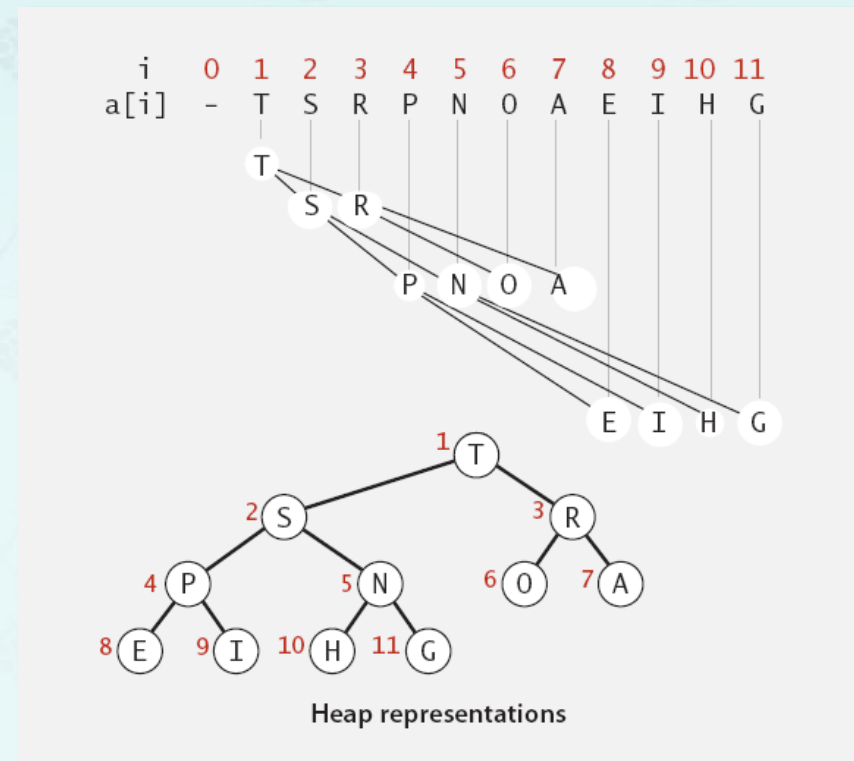
Order of growth of finding the largest M **in a stream of N items**

implementation	insert	delete	min/max
unordered array	1	N	N
ordered array	N	1	1
goal	$\log N$	$\log N$	$\log N$

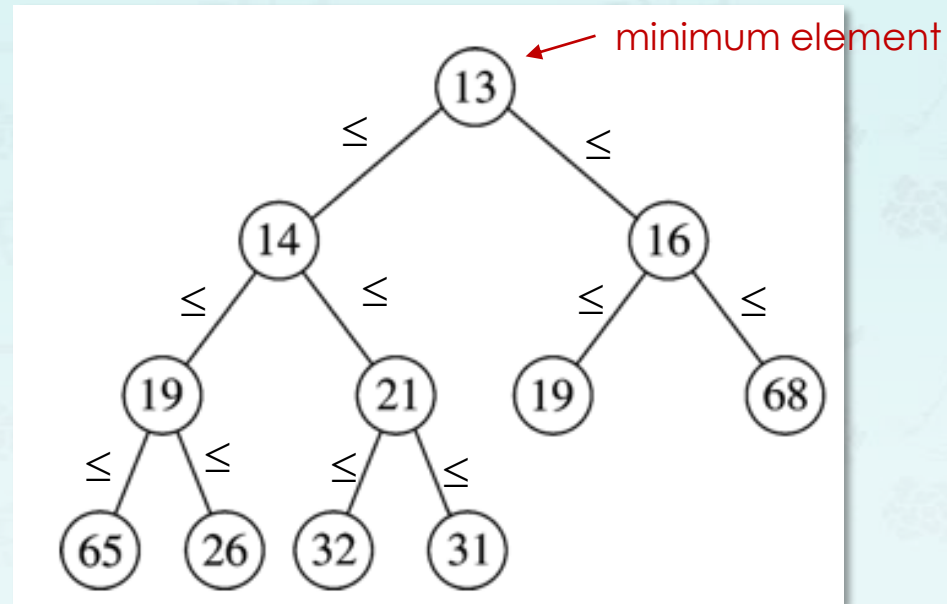
Mission Impossible?

Binary heap

- **Binary heap**: array representation of a **heap-ordered** complete binary tree
- **Properties:**
 - **Heap-ordered:**
Parent's key no smaller than children's keys. [maxheap]
 - **Heap-structure:**
A complete binary tree
- Array representation
 - Indices start at 1.
 - Take nodes in **level** order.
 - Parent at k is at $k/2$.
 - Children at k are at $2k$ and $2k+1$.
 - No explicit links needed!



minheap example

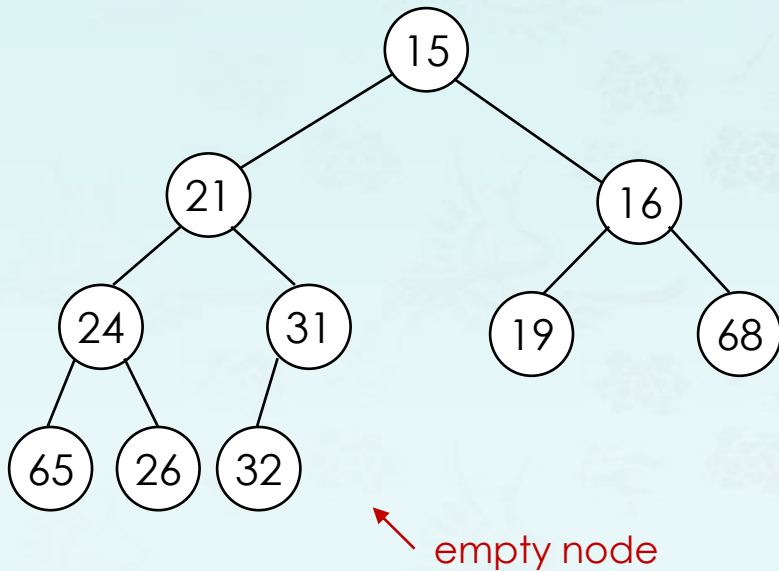


- Duplicates are allowed
- No order implied for elements which do not share ancestor-descendant relationship

minheap example

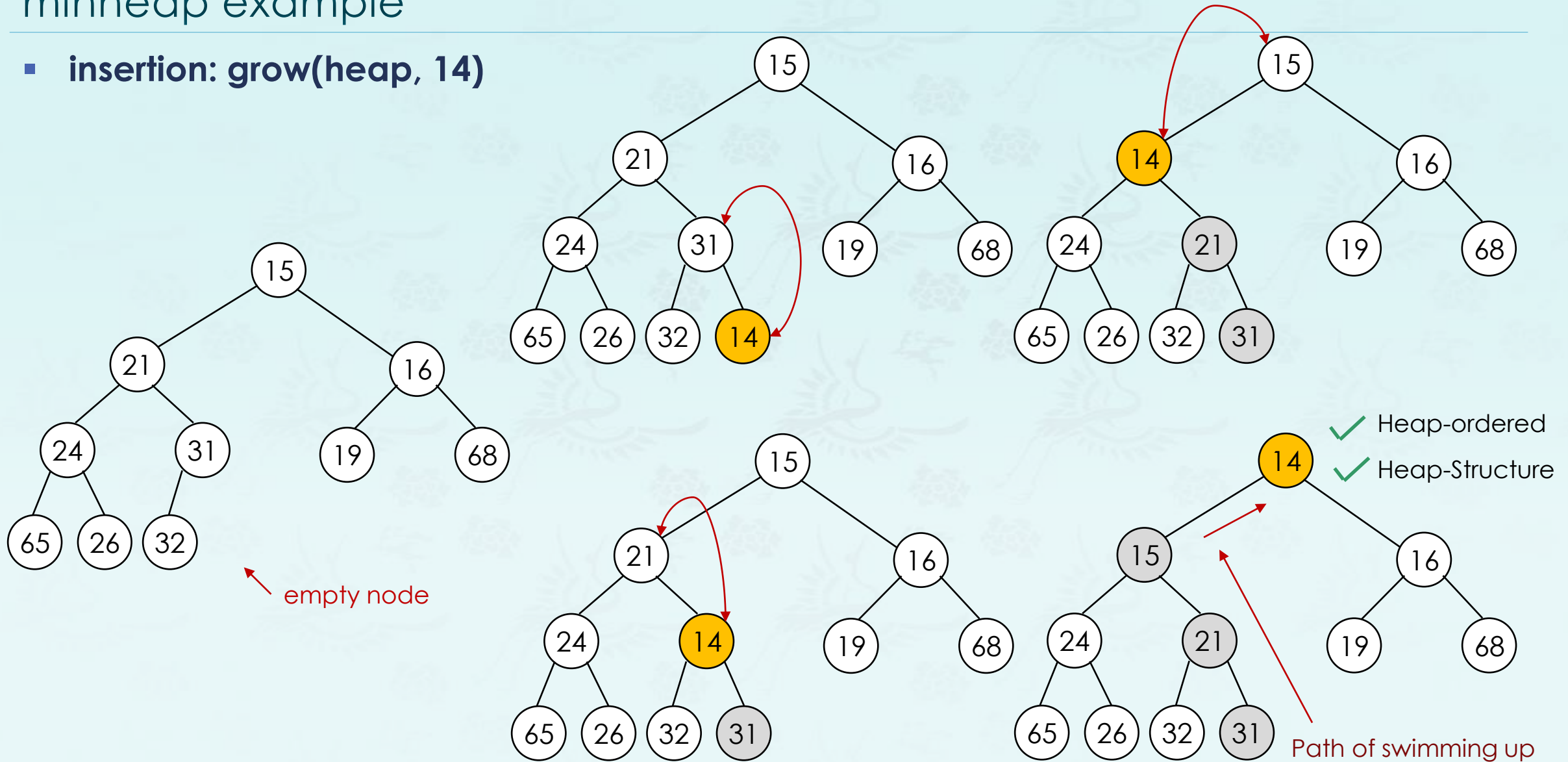
■ insertion: grow(heap, 14)

- Insert a new element **while maintaining a heap-structure**
- Move the element up the heap **while not satisfying heap-ordered**
- Where is an empty node to start?



minheap example

- insertion: `grow(heap, 14)`

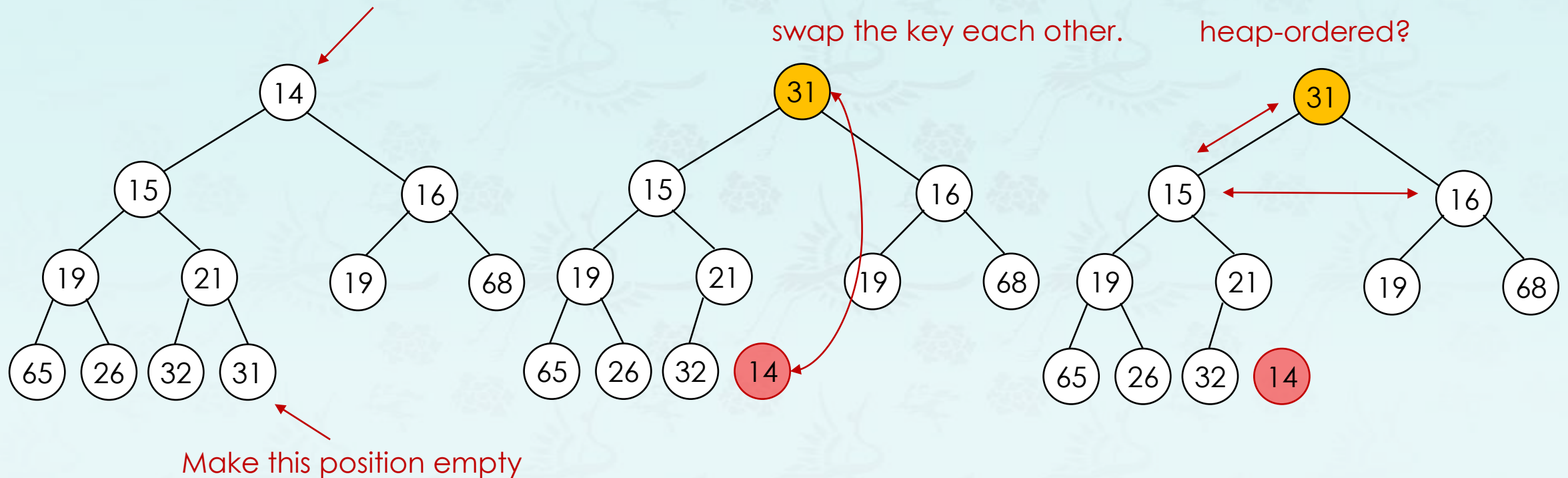


minheap example

- **deletion: dequeue – delete the root**
 - Swap the root and the last element.
 - Heap decreases by one in size.
 - **Move down (sink) the root** while not satisfying heap-ordered.
 - Minimum element is **always** at the root (by minheap definition).

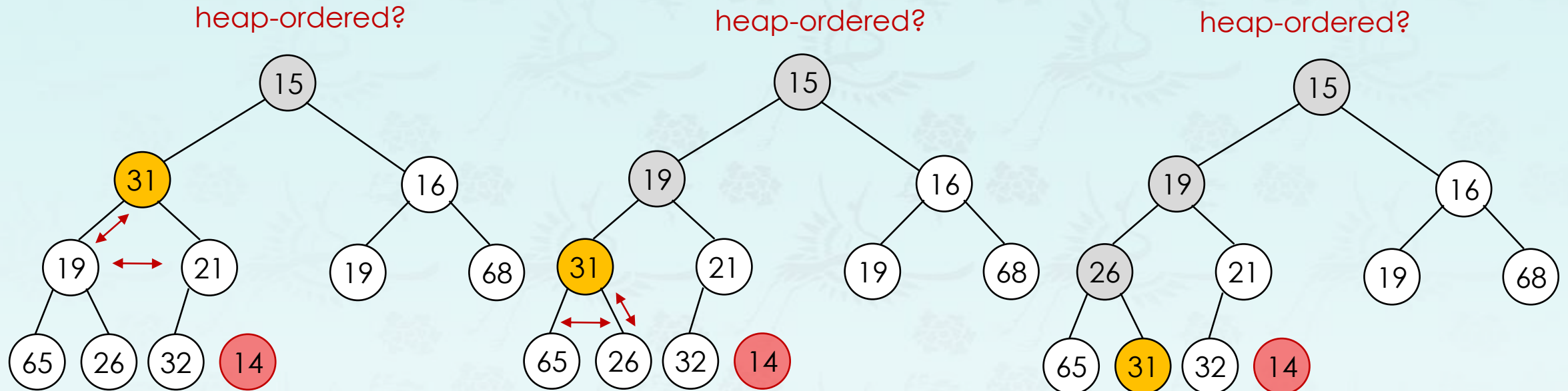
minheap example

- **deletion: trim() or dequeue()** - Which position of the node will be empty?



minheap example

- **deletion: trim() or dequeue()** - Which position of the node will be empty?



- Is $31 > \min(14, 16)$?
- Yes - swap 31 with $\min(14, 16)$

- Is $31 > \min(19, 21)$?
- Yes - swap 31 with $\min(19, 21)$

- Is $31 > \min(65, 26)$?
- Yes - swap 31 with $\min(65, 26)$

✓ Heap-ordered
✓ Heap-Structure

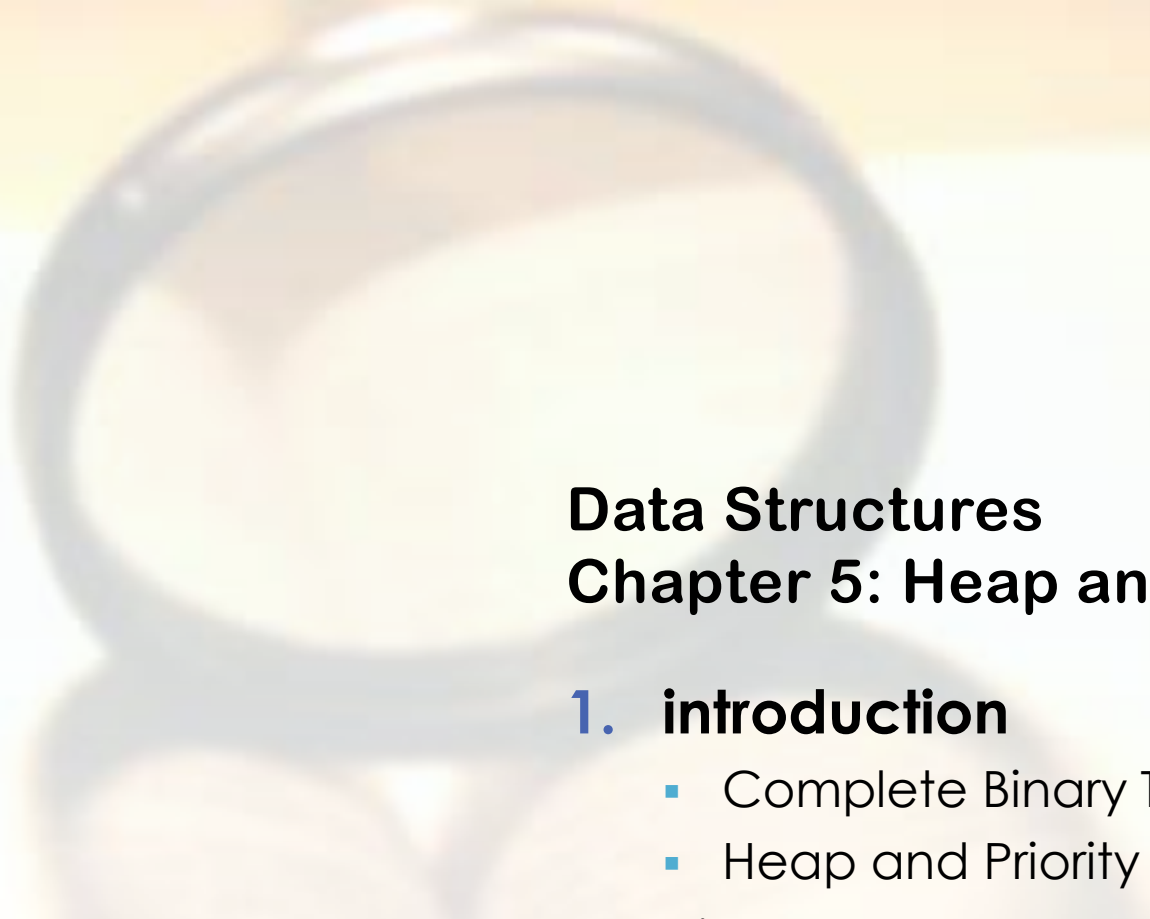
Binary heap operations time complexity:

- Level of heap is $\lfloor \log_2 N \rfloor$
- insert: $O(\log N)$ for each insert
 - In practice, expect less
- delete: $O(\log N)$ // deleting root node in min/max heap
- decreaseKey: $O(\log N)$
- increaseKey: $O(\log N)$
- remove: $O(\log N)$ // removing a node in any location

Binary heap operations time complexity with N items:

Implementation	Insert	Delete	max
Unordered array	1	N	N
Ordered array	N	1	1
Binary heap	log N	log N	1

↑ ↑
Mission Completed



Data Structures

Chapter 5: Heap and Priority Queue

1. introduction

- Complete Binary Tree
- Heap and Priority Queue

1. introduction

- Complete Binary Tree (Review)
- Heap and Priority Queue

2. Binary Heap

- Min heap, **Max heap**
- Priority Queue

3. Heapsort

4. Heap & PQ Coding

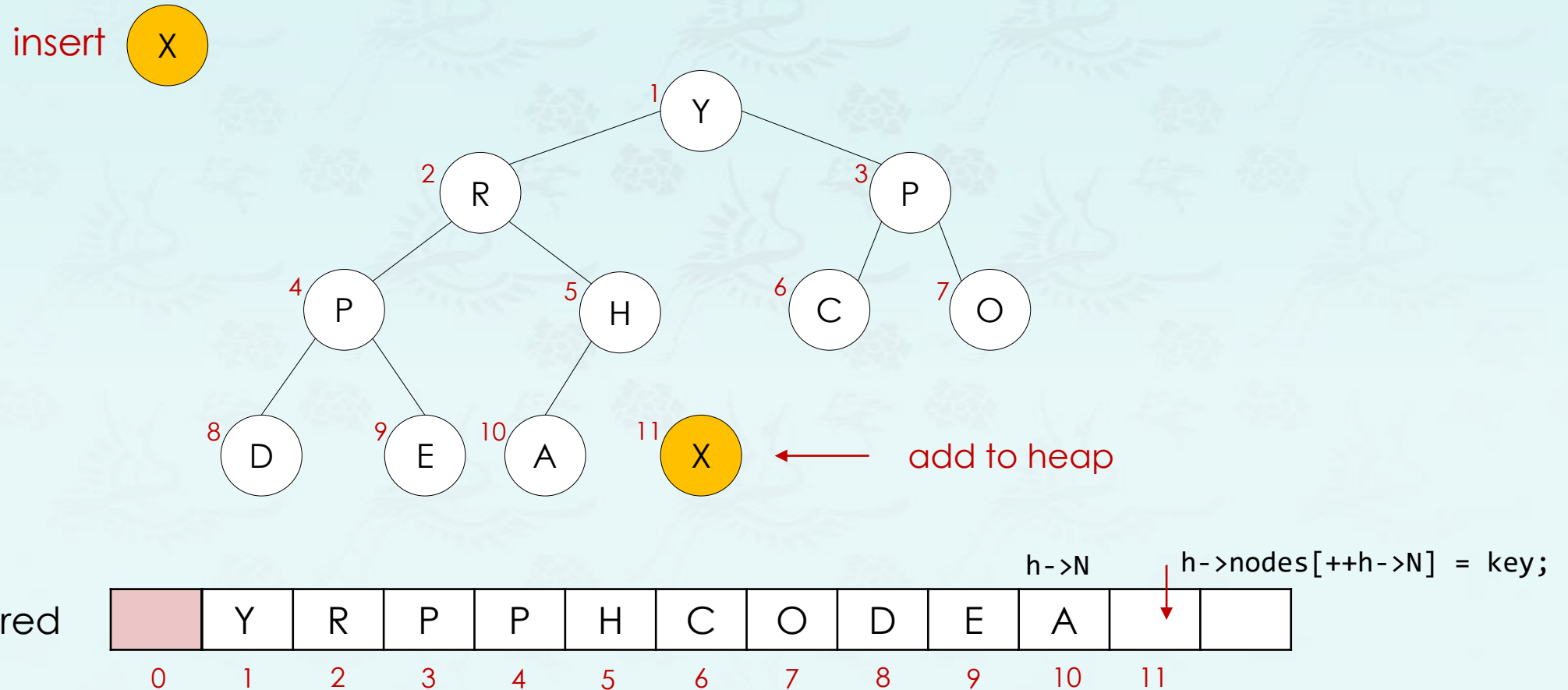
Heap ADT - heap.h

- Heap ADT: A **one - based** and **one dimensional array** is used to simplify parent and child calculations.
- heap.h

```
struct Heap {  
    int *nodes;           // an array of nodes  
    int capacity;         // array size of node or key, item  
    int N;                // the number of nodes in the heap  
    bool (*comp)(Heap*, int, int);  
    Heap(int capa = 2) {  
        capacity = capa;  
        nodes = new int[capacity];  
        N = 0;  
        comp = nullptr;  
    };  
    ~Heap() {};  
};  
using heap = Heap*;
```

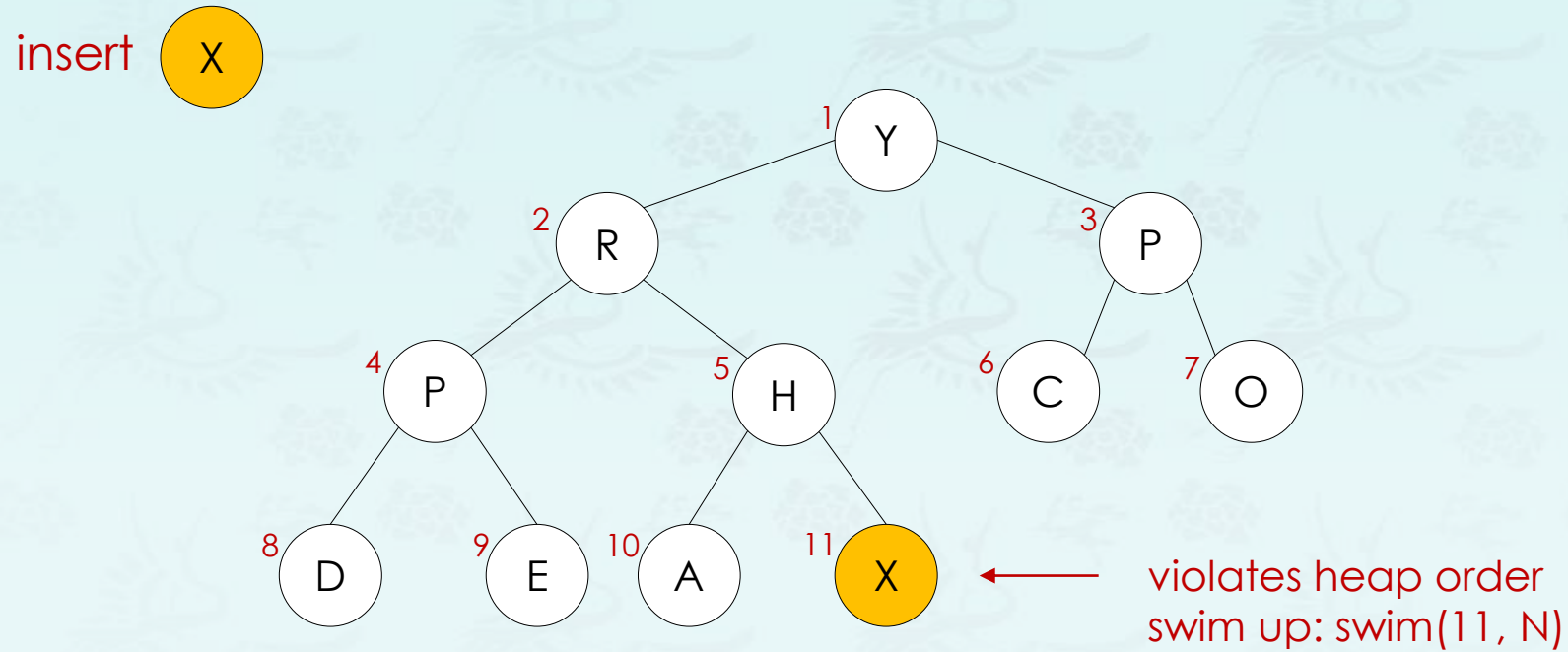
maxheap example

- **Insert:** Add node at end, then swim it up.
- **Remove:** Swap root with last node, then sink down.

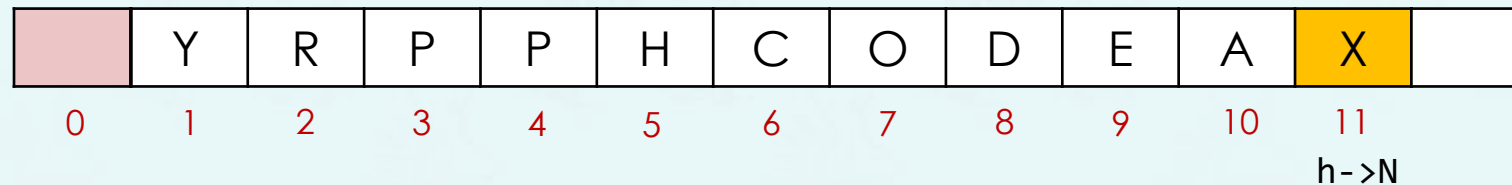


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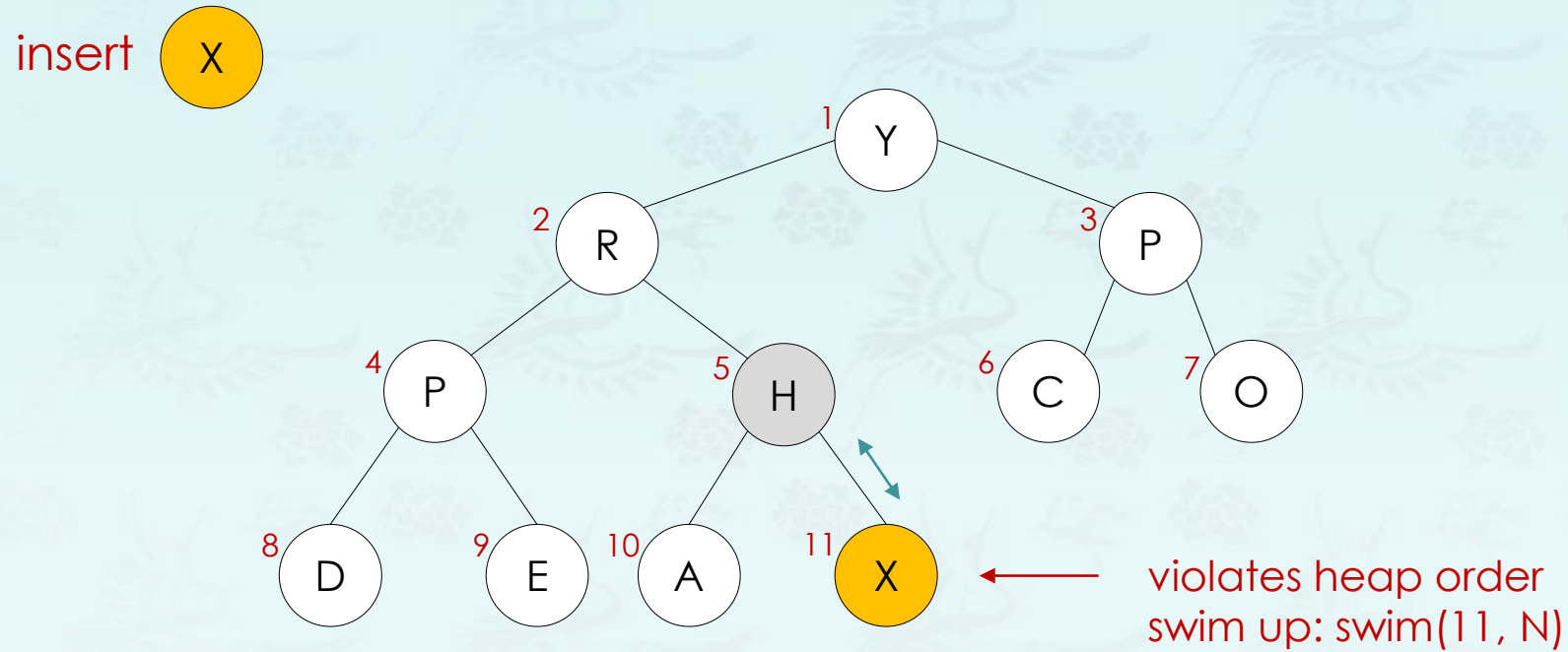


heap-ordered

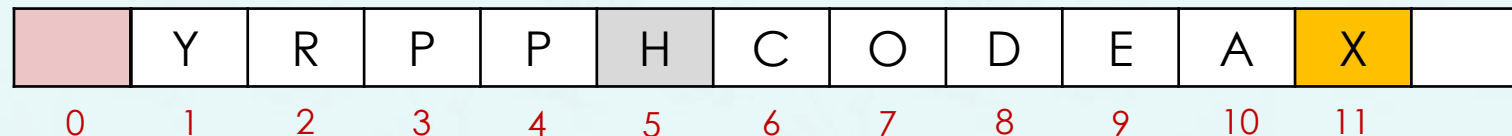


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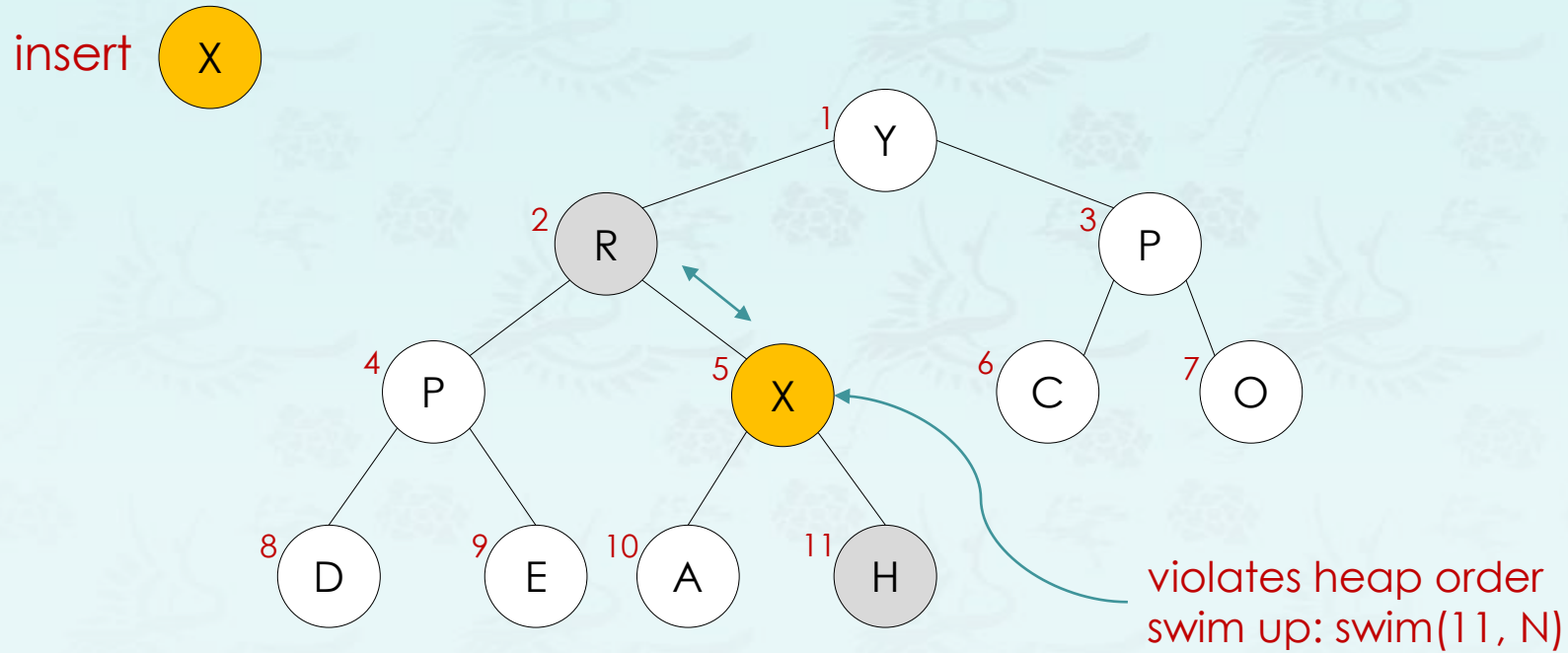


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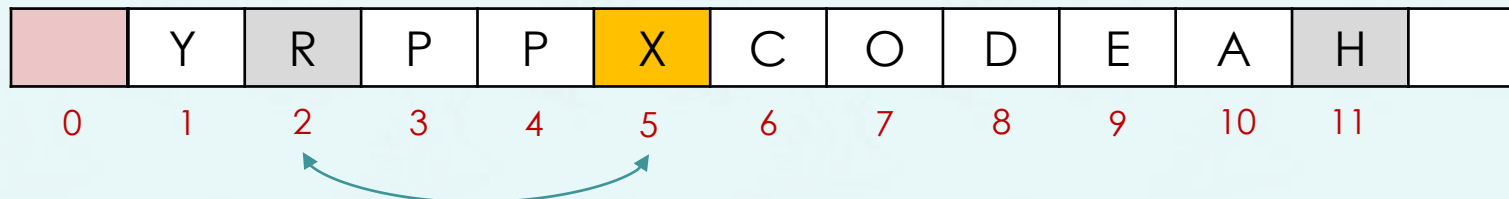


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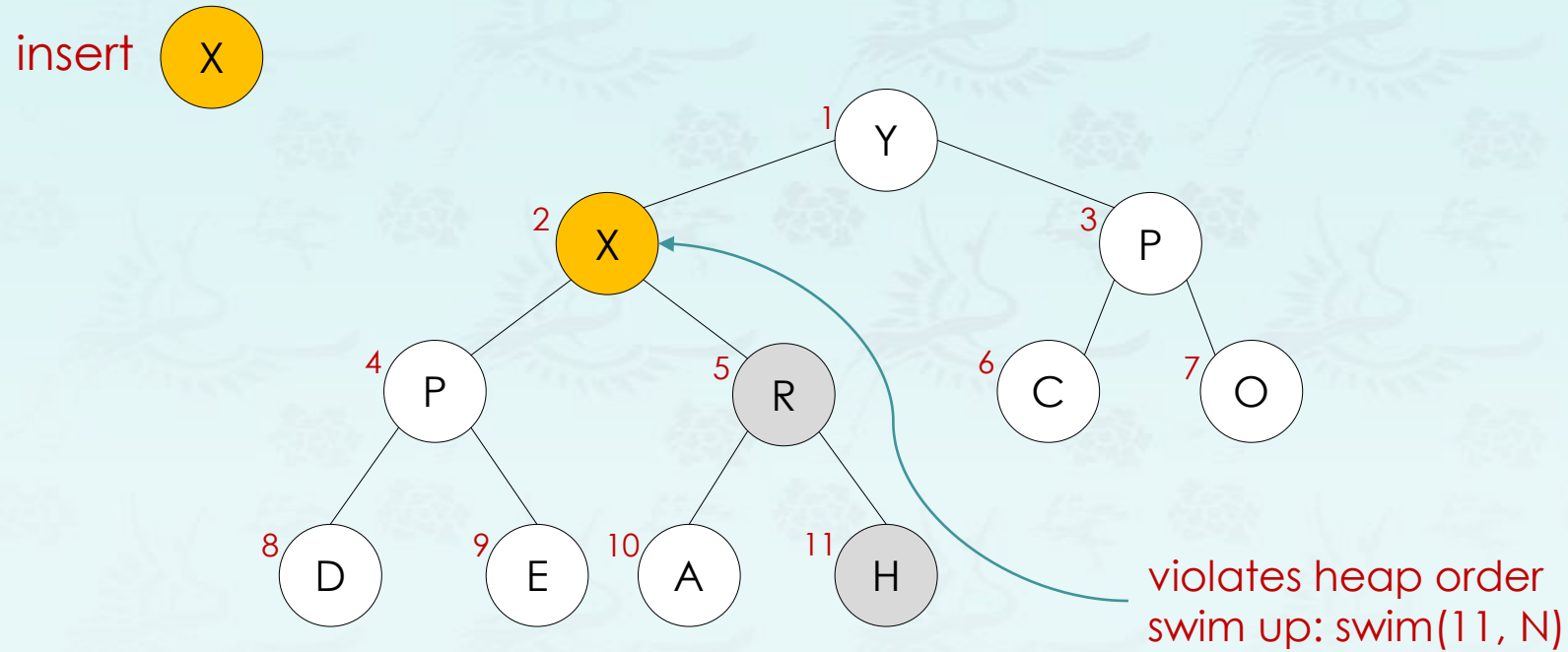


heap-ordered

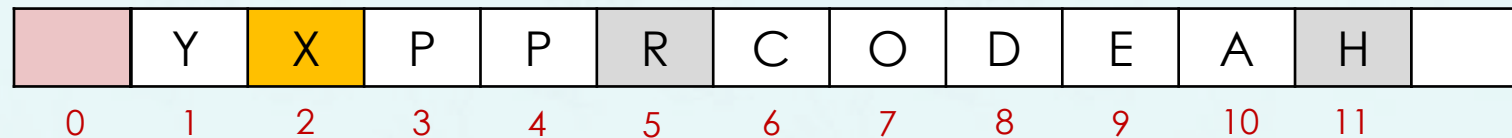


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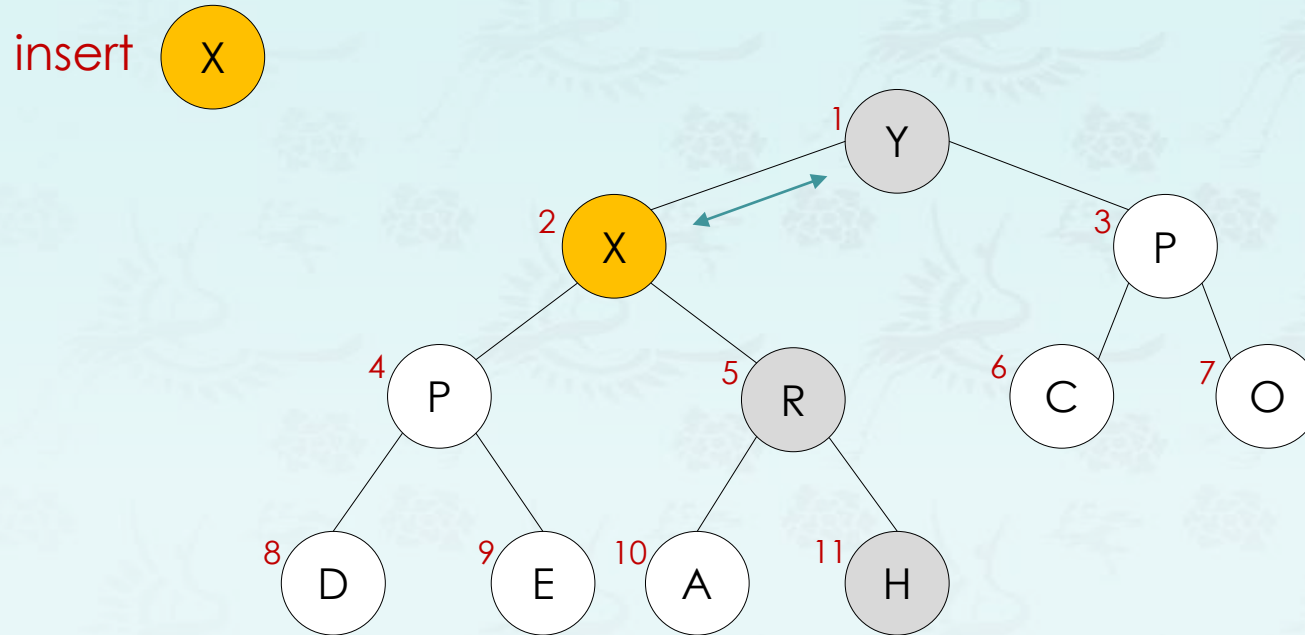


heap-ordered

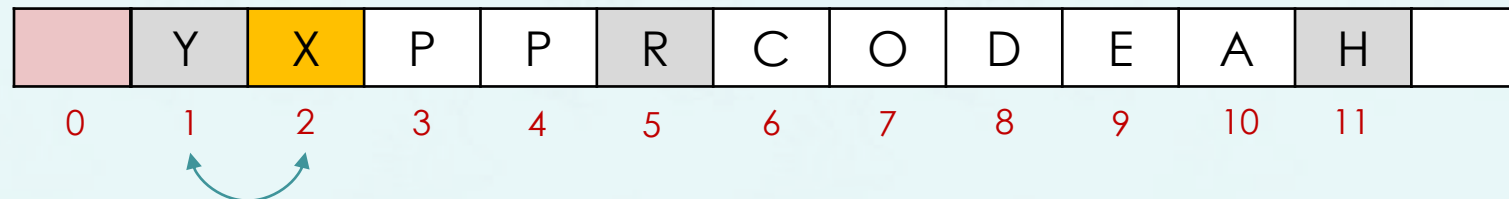


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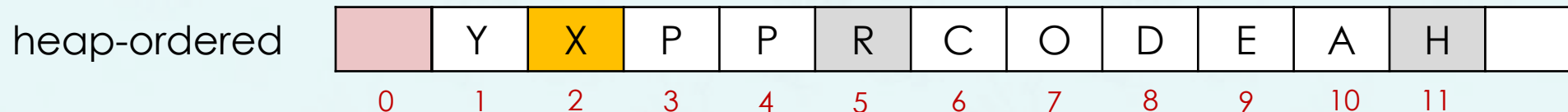
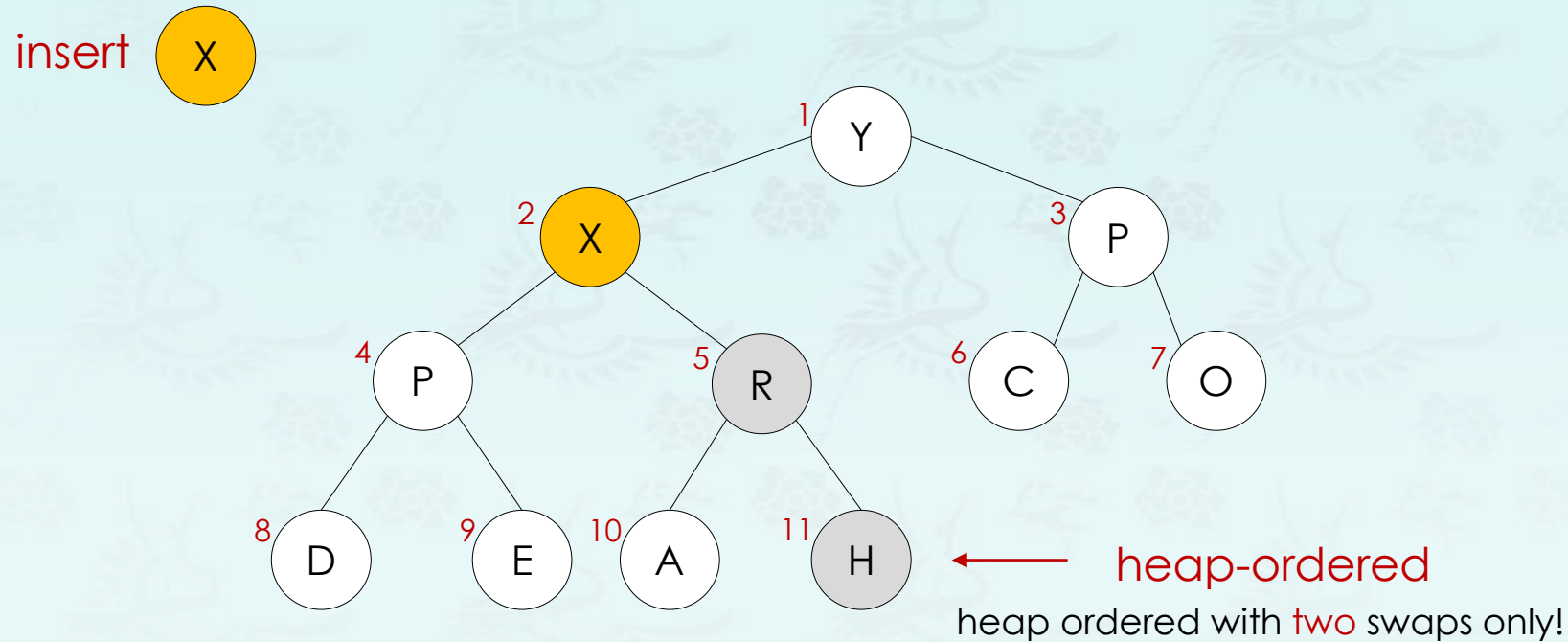


heap-ordered



maxheap example

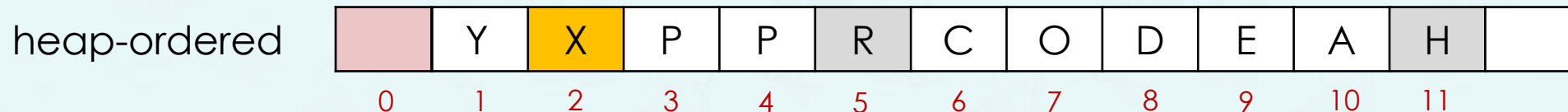
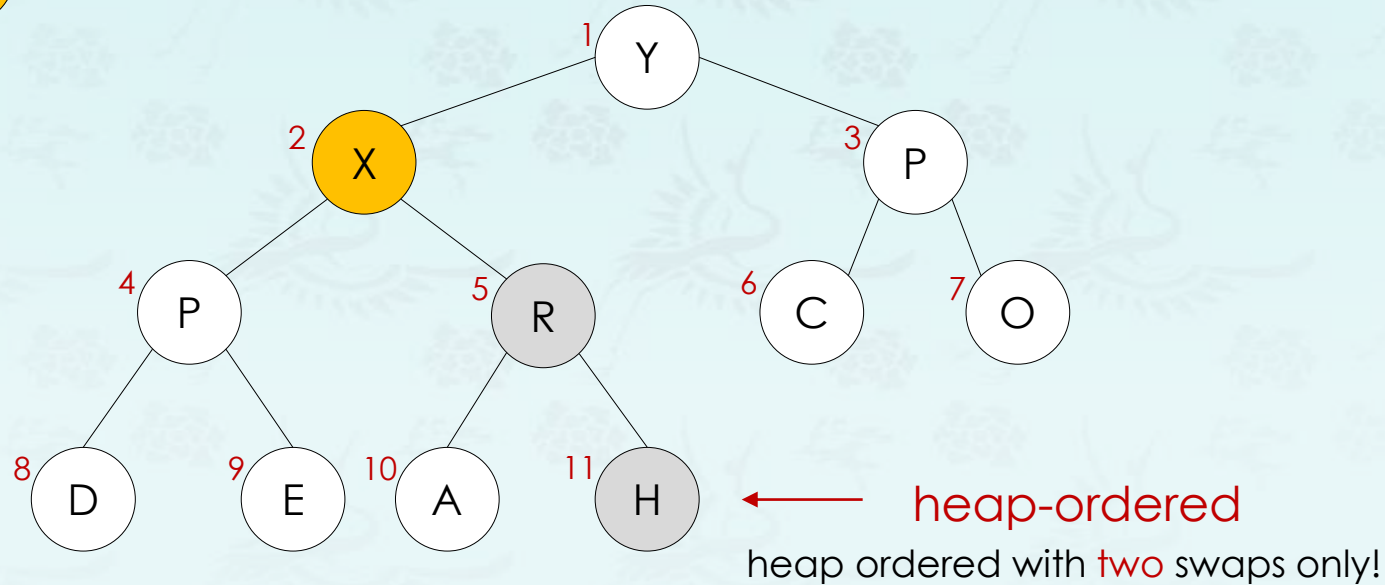
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maxheap example

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How to code insert 

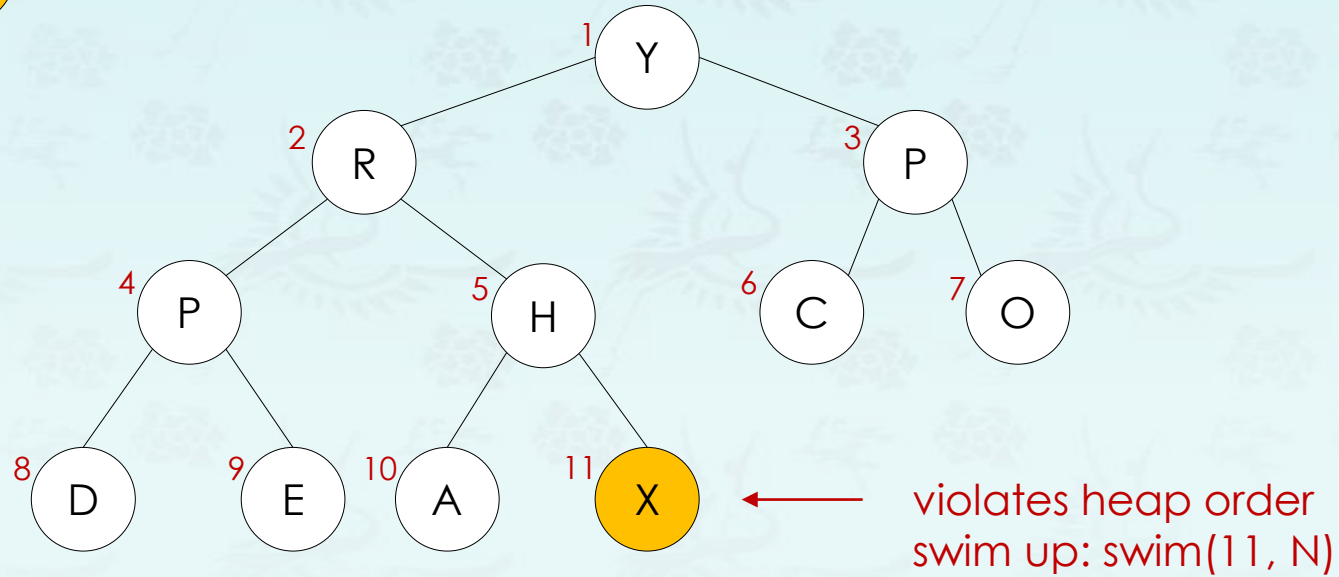
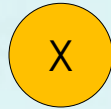


maxheap example

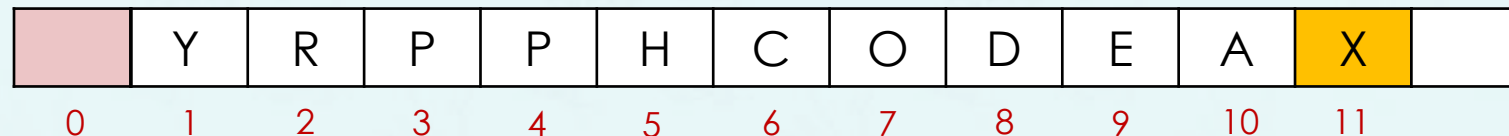
- **Insert:** Add node at end, then swim it up.
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```
void swim(heap h, int k) {  
    while (k > 1 && less(h, k / 2, k)) {  
        swap(h, k / 2, k);  
        k = k / 2;  
    }  
}
```

How to code insert



heap-ordered

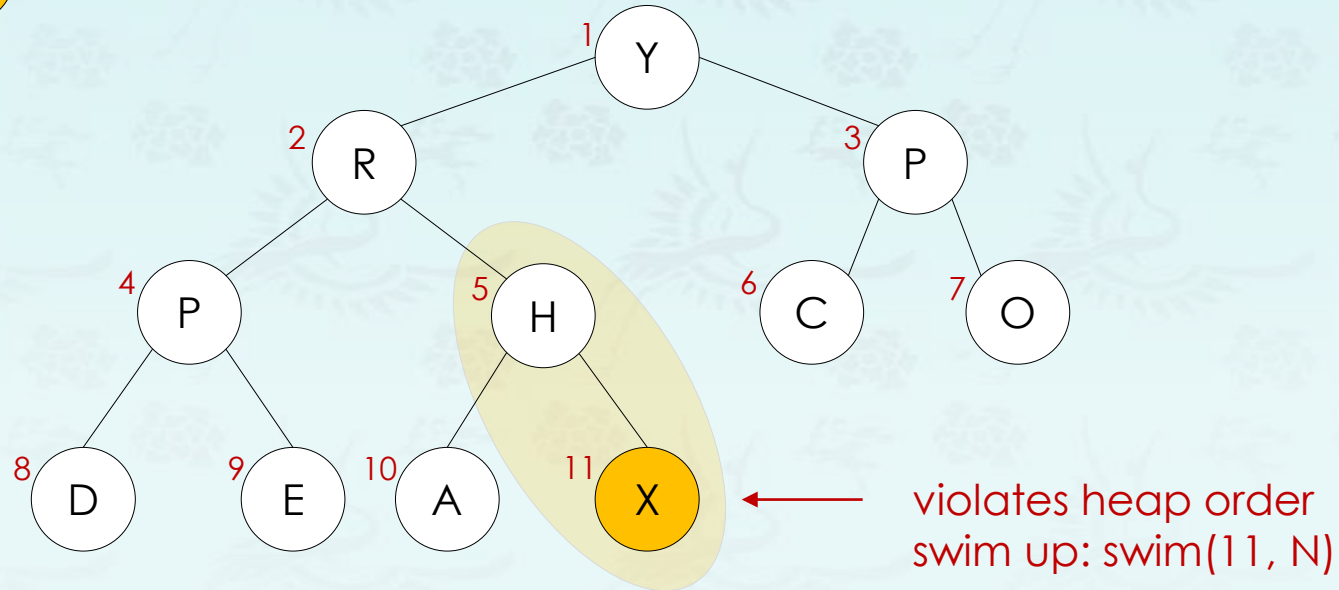
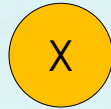


maxheap example

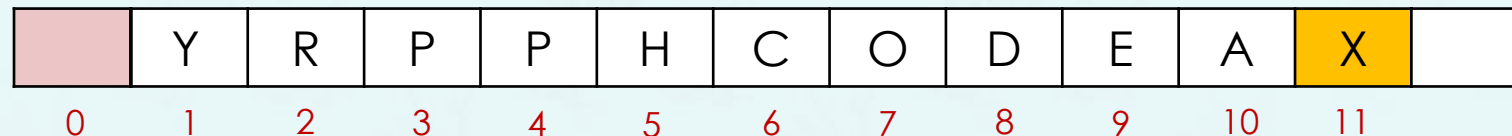
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```
void swim(heap h, int k) {      k=11
    while (k > 1 && less(h, k / 2, k)) {
        swap(h, k / 2, k);      k/2=5, k=11
        k = k / 2;              k=5
    }
}
```

How to code insert



heap-ordered

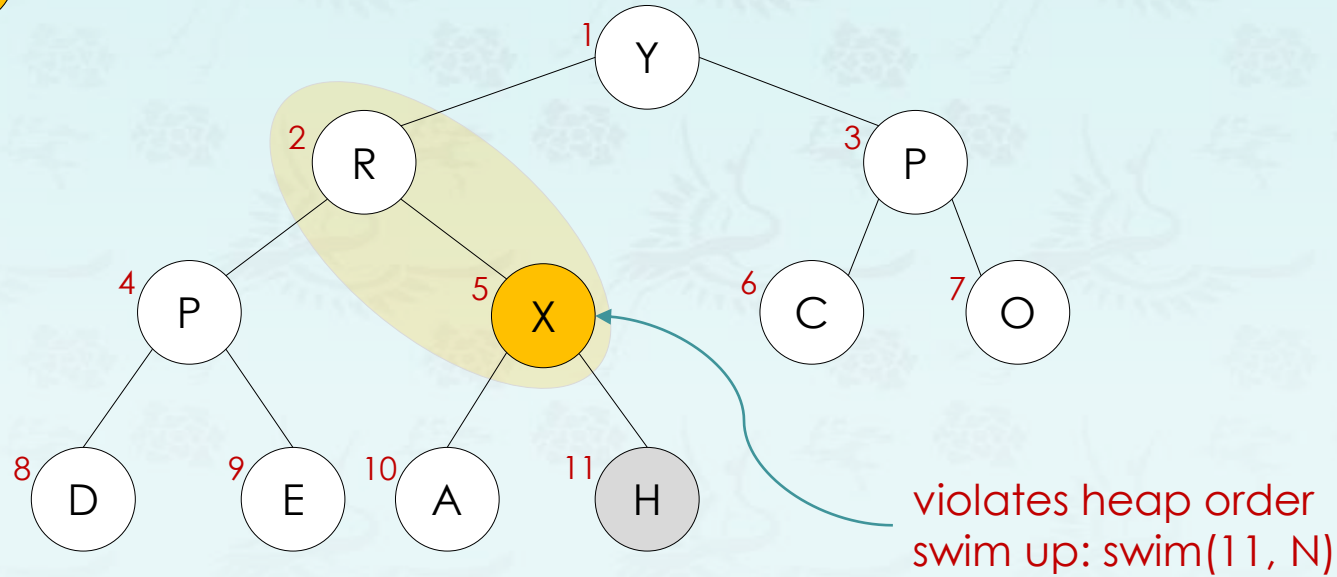
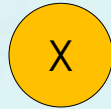


maxheap example

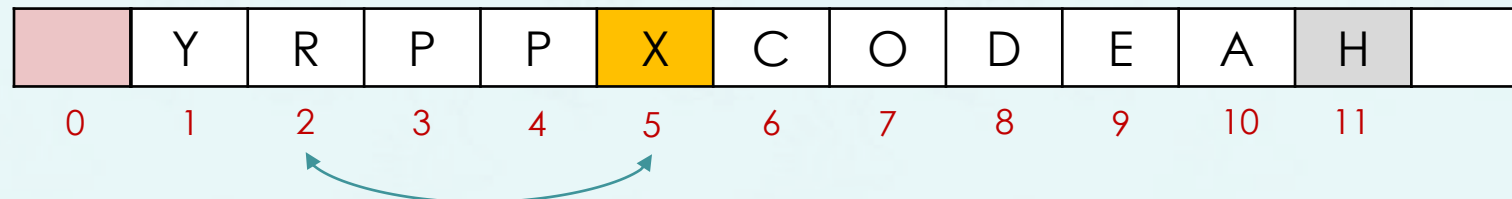
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```
void swim(heap h, int k) {      k=5
    while (k > 1 && less(h, k / 2, k)) {
        swap(h, k / 2, k);      k/2=2, k=5
        k = k / 2;              k=2
    }
}
```

How to code insert



heap-ordered

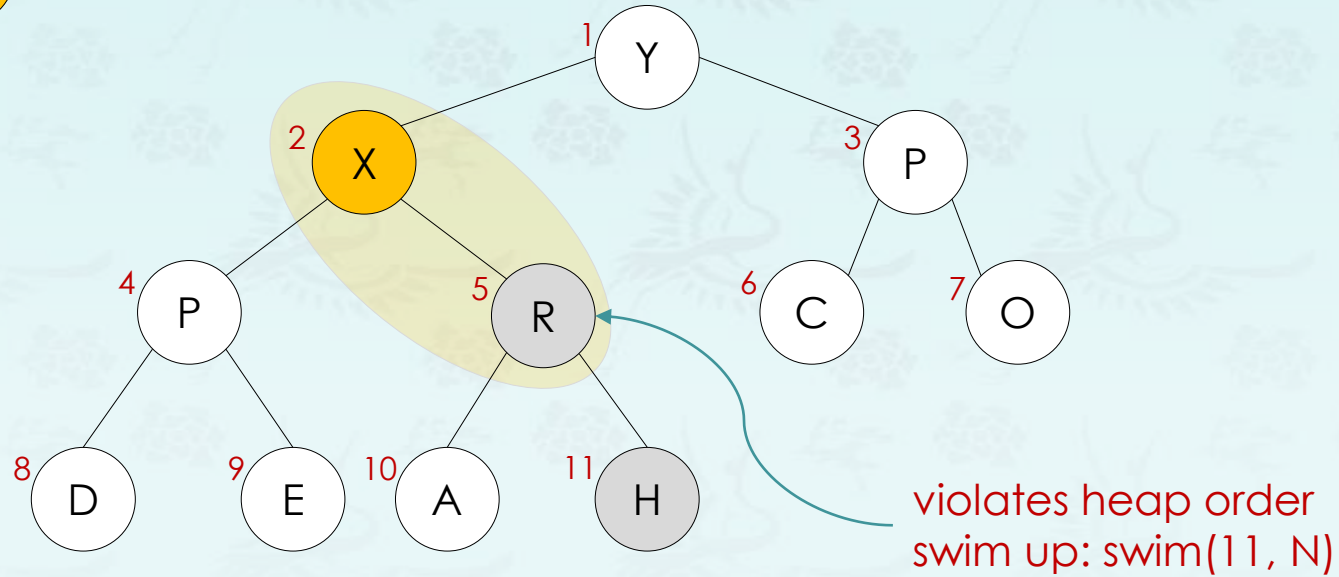
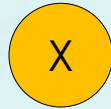


maxheap example

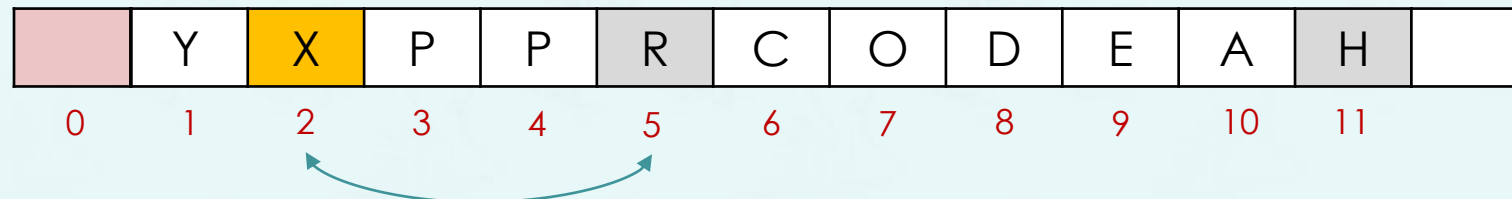
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```
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    while (k > 1 && less(h, k / 2, k)) {  
        swap(h, k / 2, k);    k/2=2, k=5  
        k = k / 2;            k=2  
    }  
}
```

How to code insert



heap-ordered

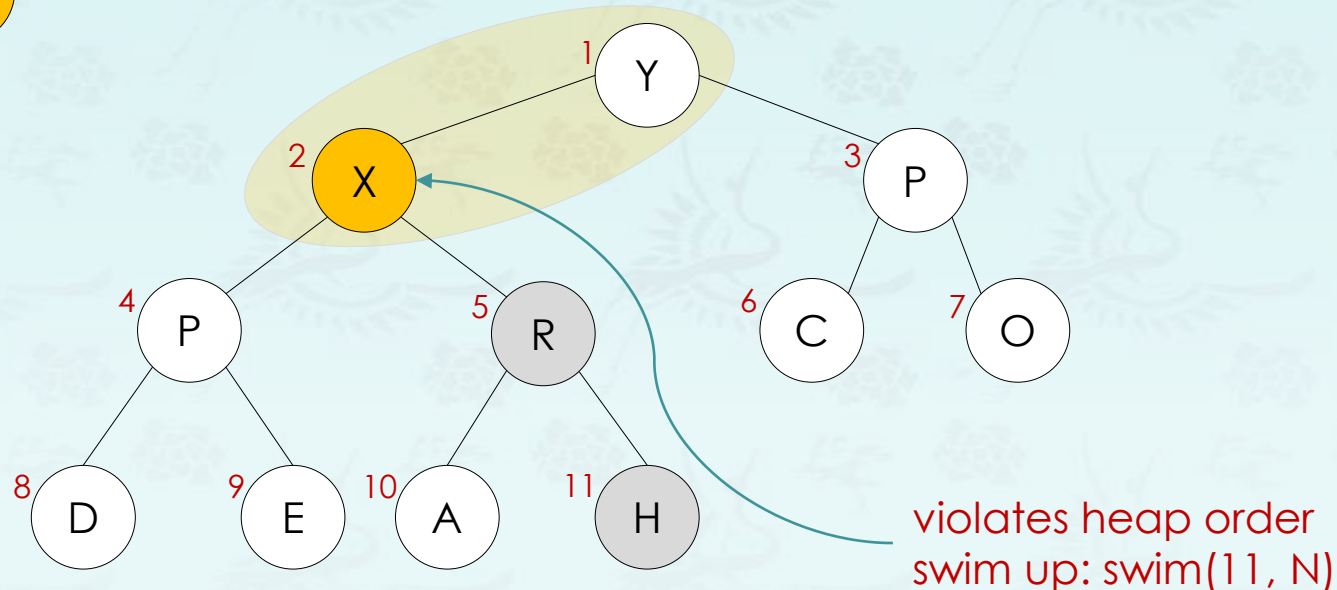
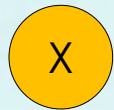


maxheap example

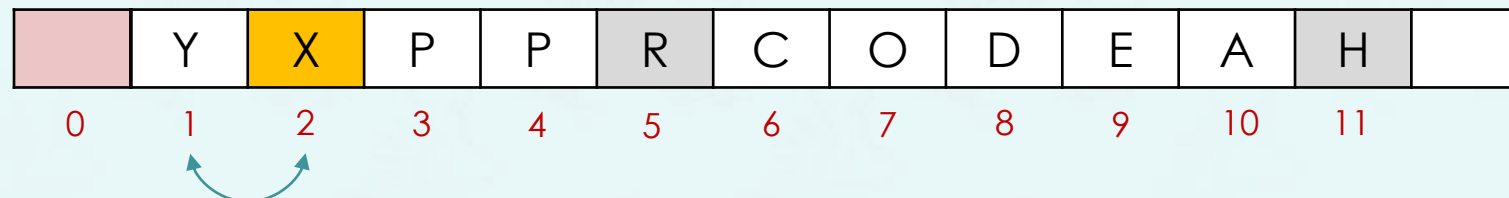
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```
void swim(heap h, int k) {  
    k=2  
    while (k > 1 && less(h, k / 2, k)) {  
        swap(h, k / 2, k);  
        k = k / 2;  
    }  
}
```

How to code insert



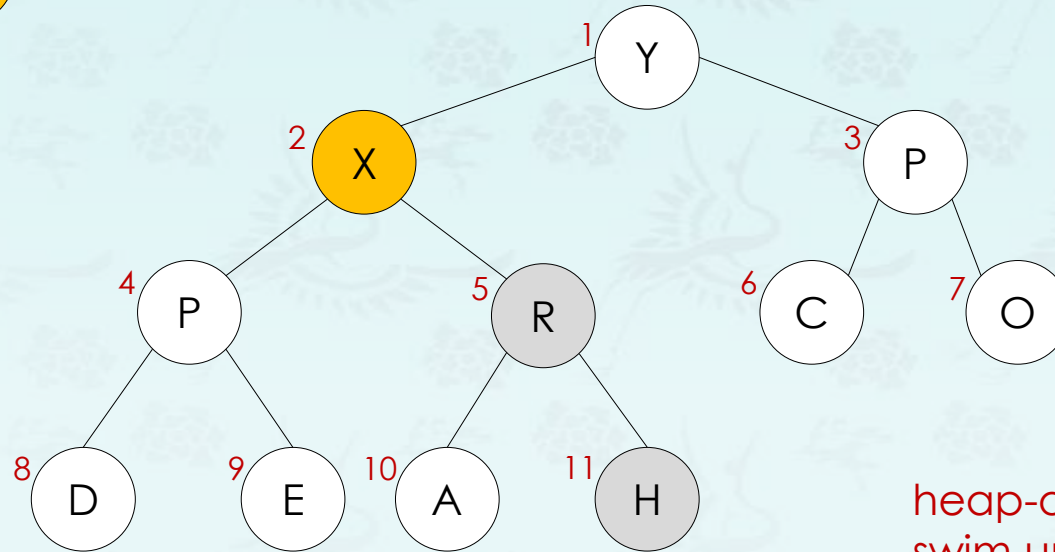
heap-ordered



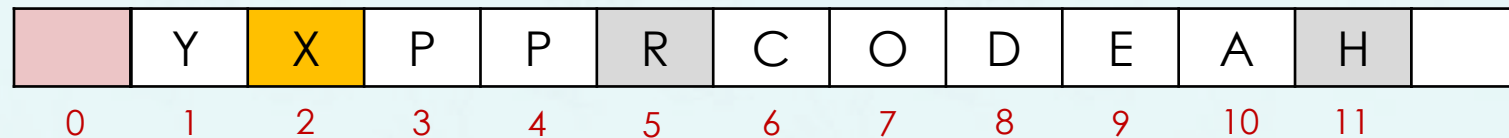
maxheap example

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How to code insert 



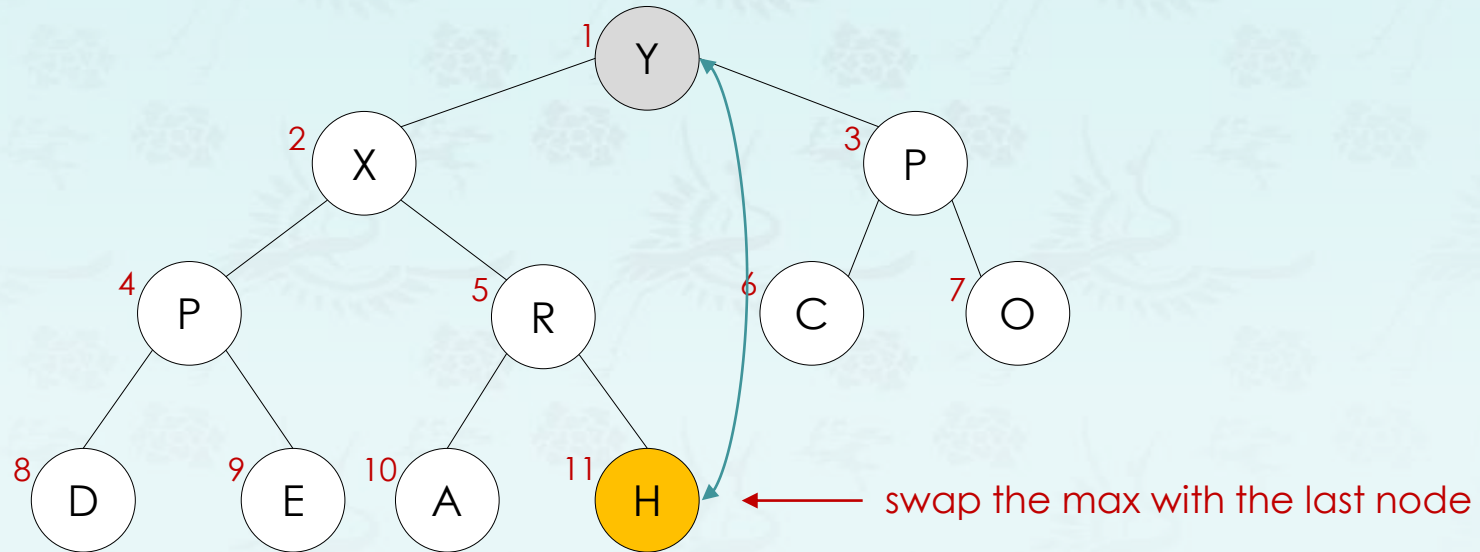
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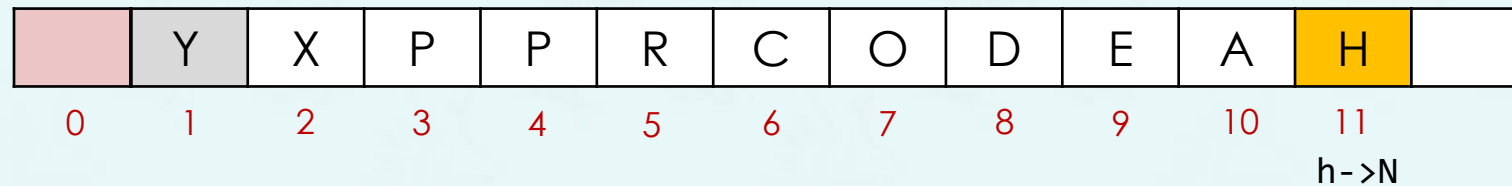
maxheap example

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remove the max (root)



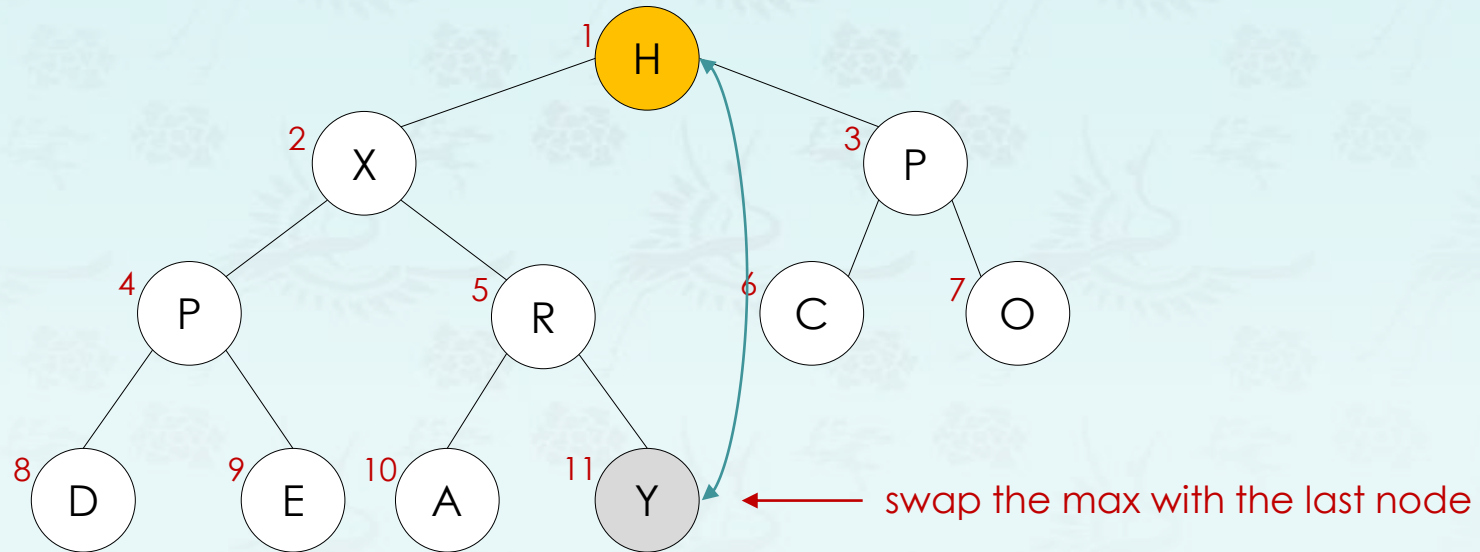
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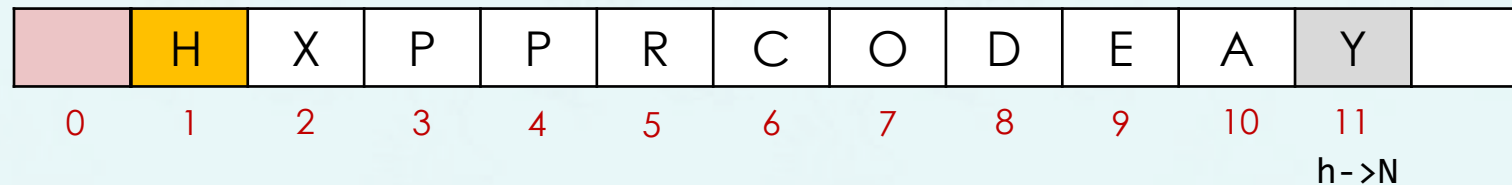
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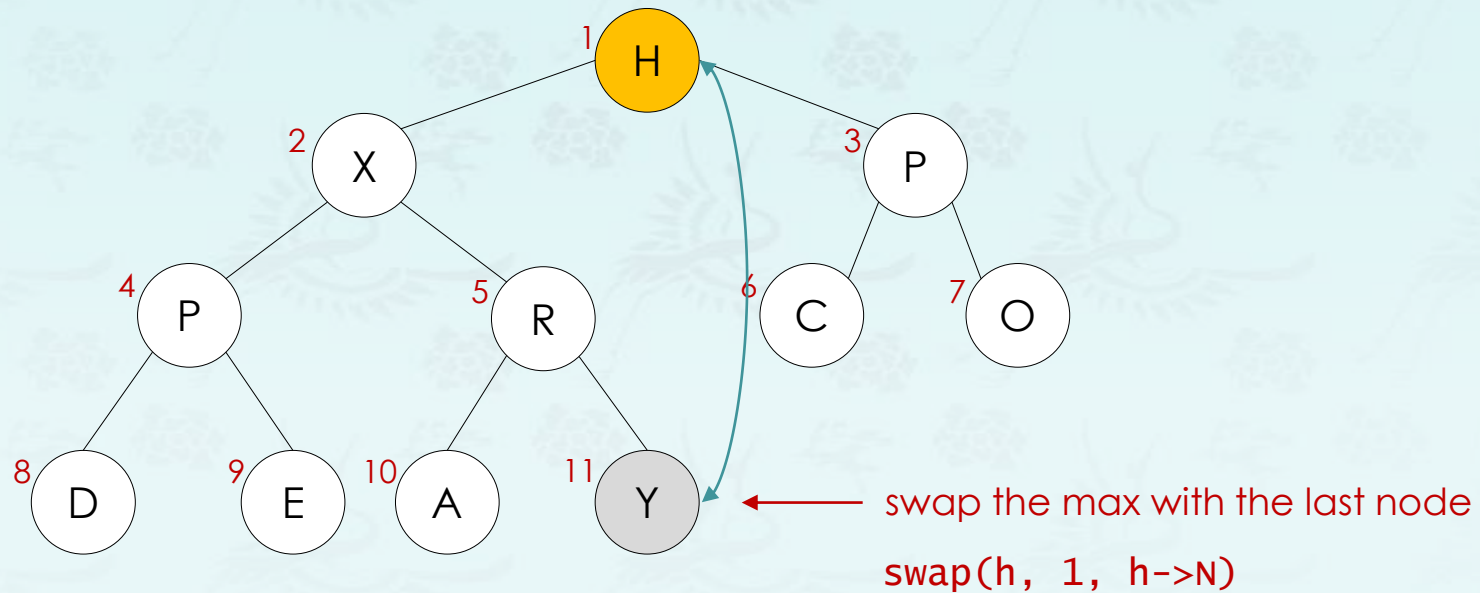
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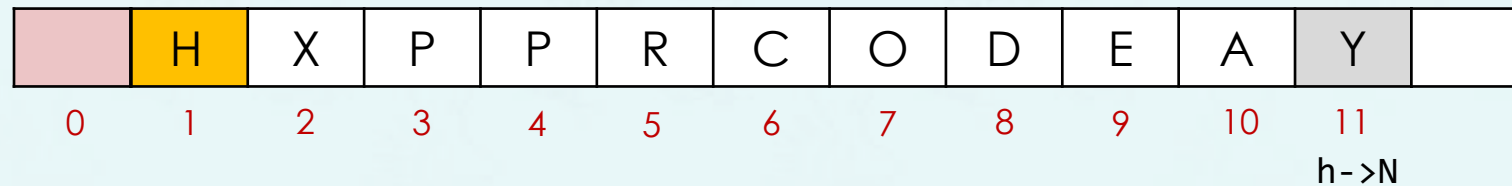
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remove the max (root)



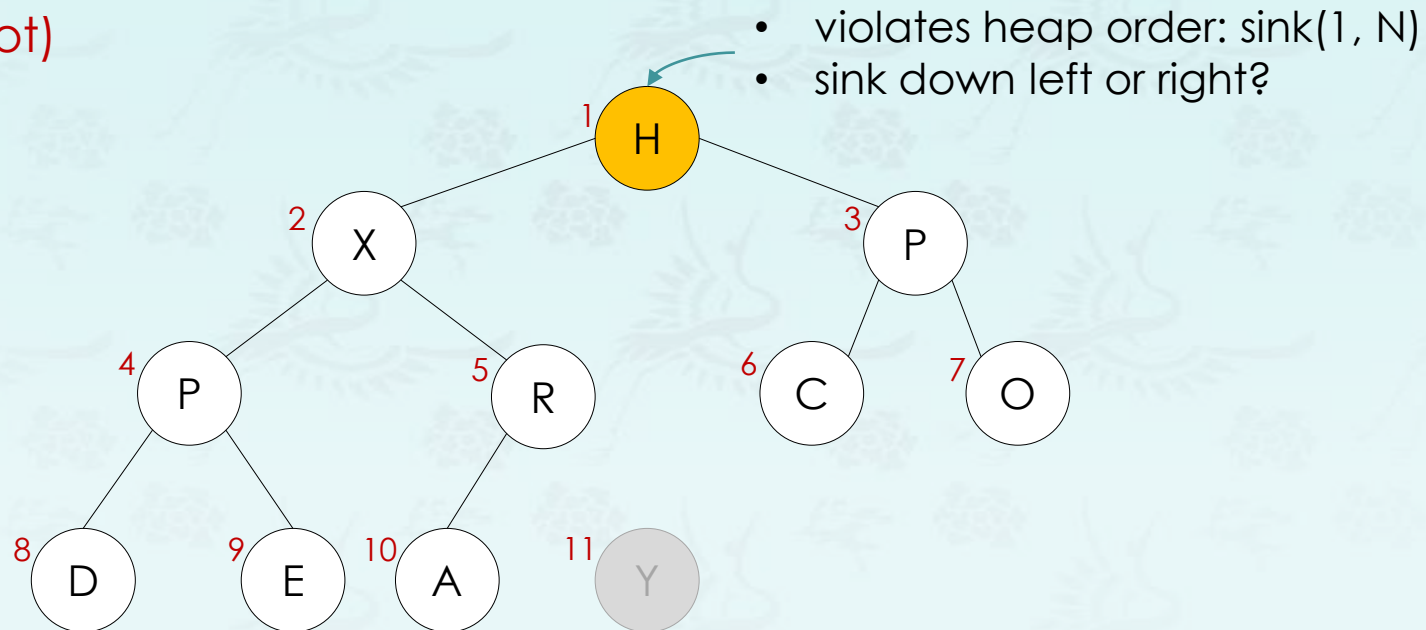
heap-ordered



maxheap example

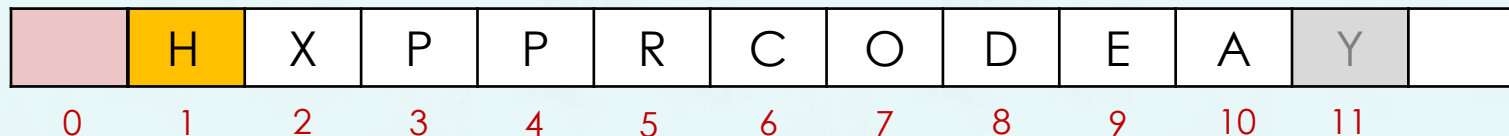
- **Insert:** Add node at end, then swim it up.
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swap(h, 1, h->N--)

heap-ordered

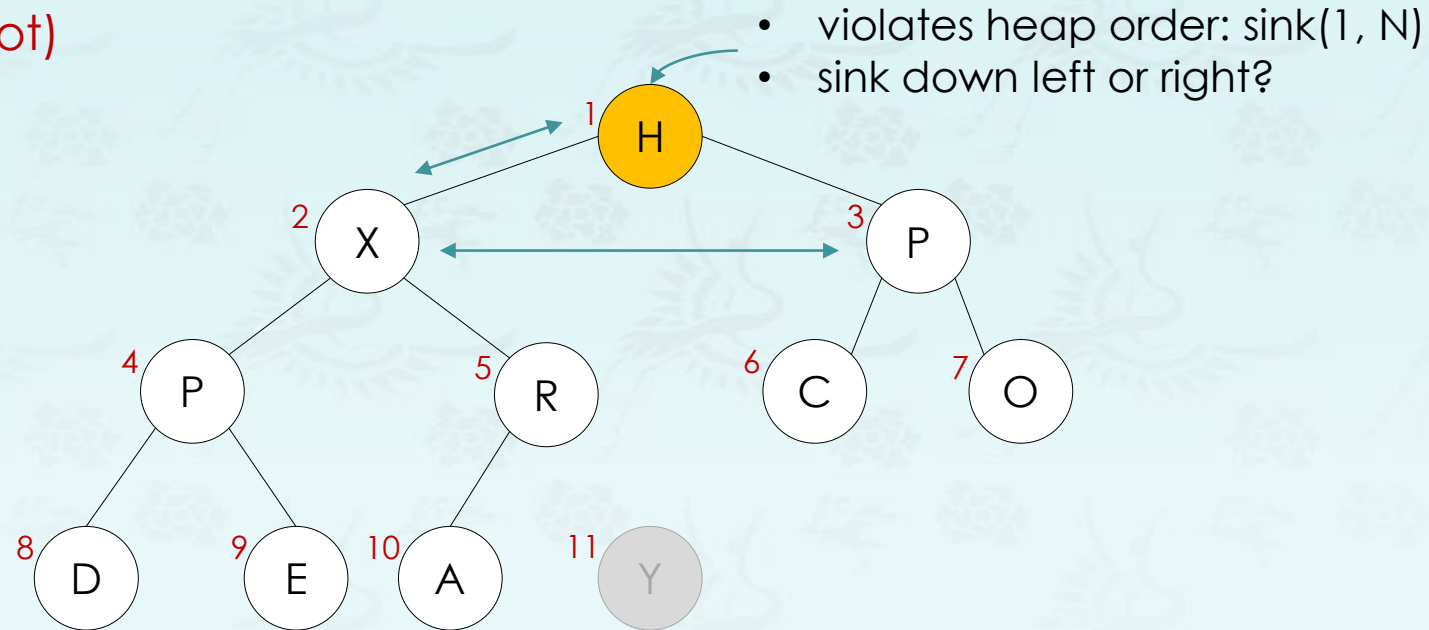


h->N heap size decreased by one

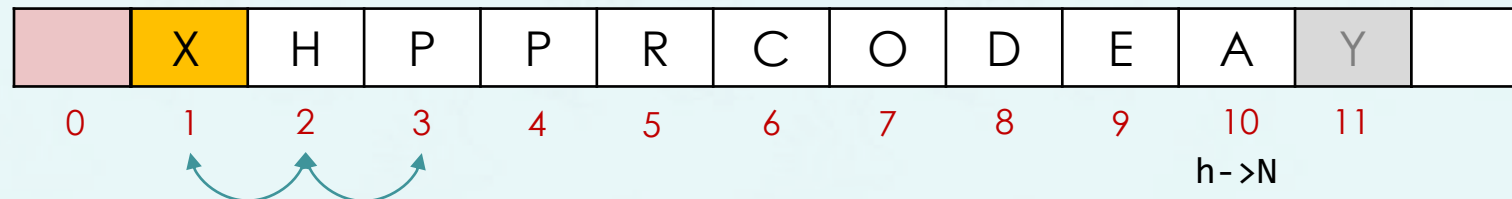
maxheap example

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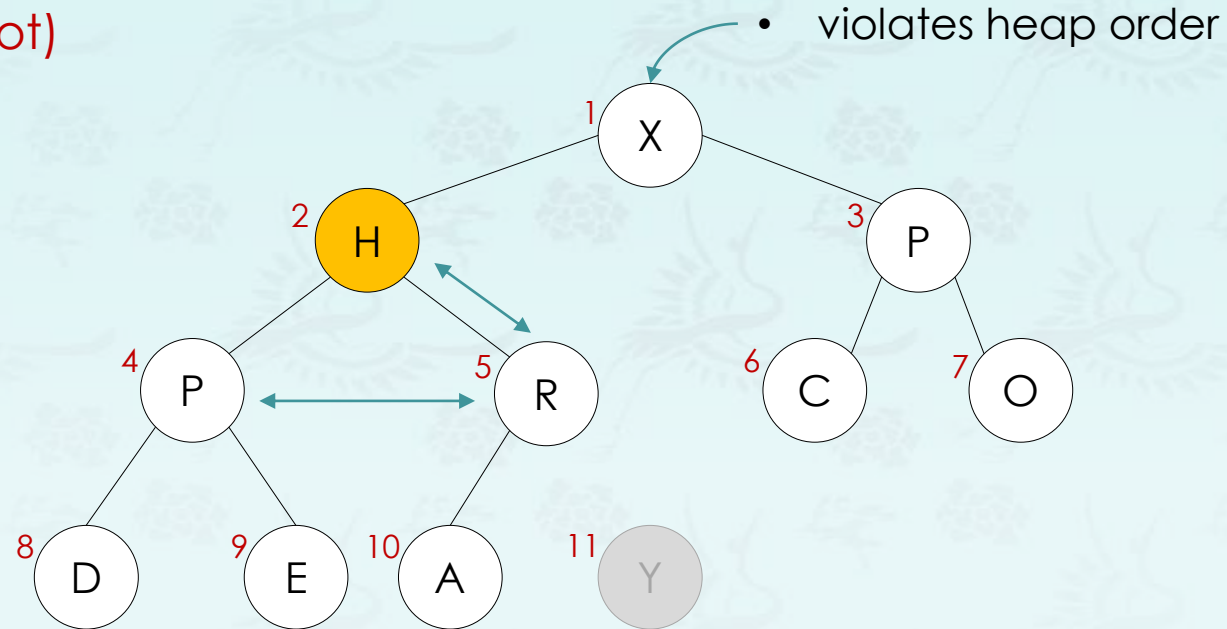
heap-ordered



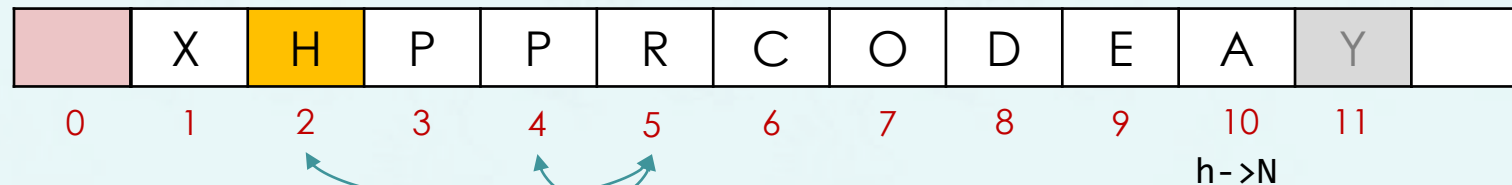
maxheap example

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remove the max (root)



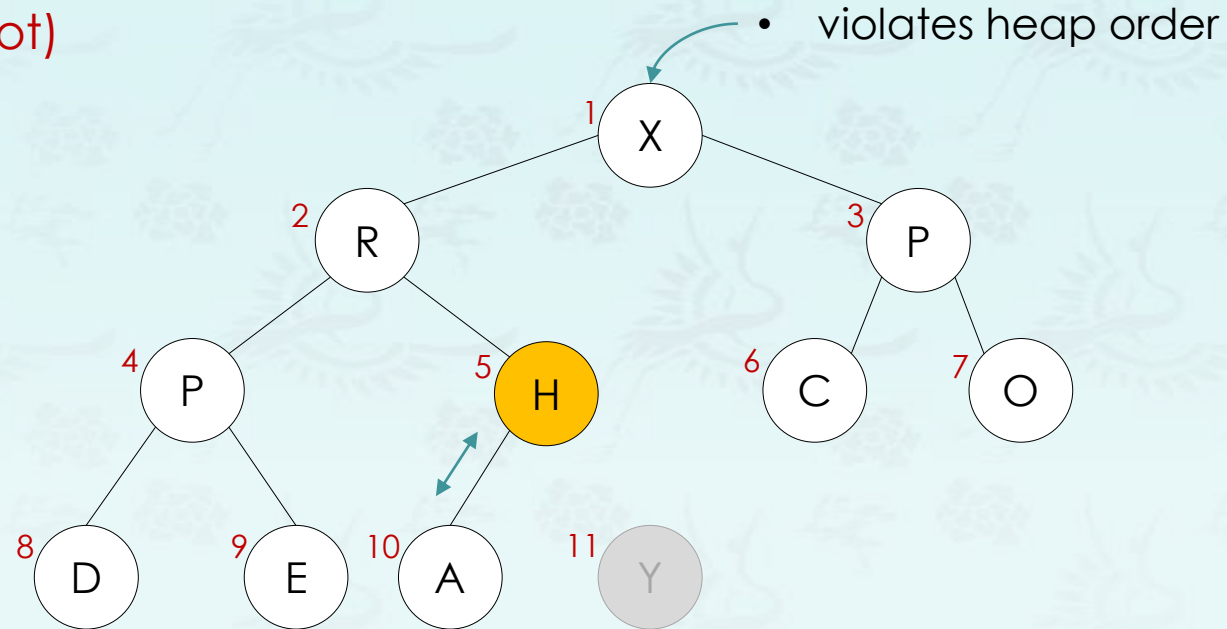
heap-ordered



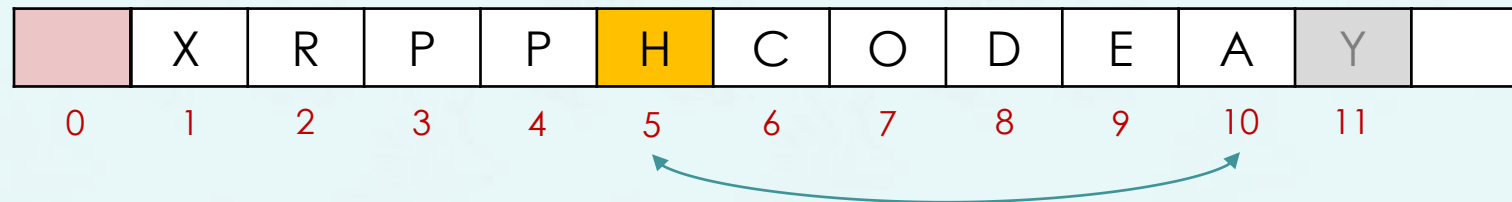
maxheap example

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heap-ordered

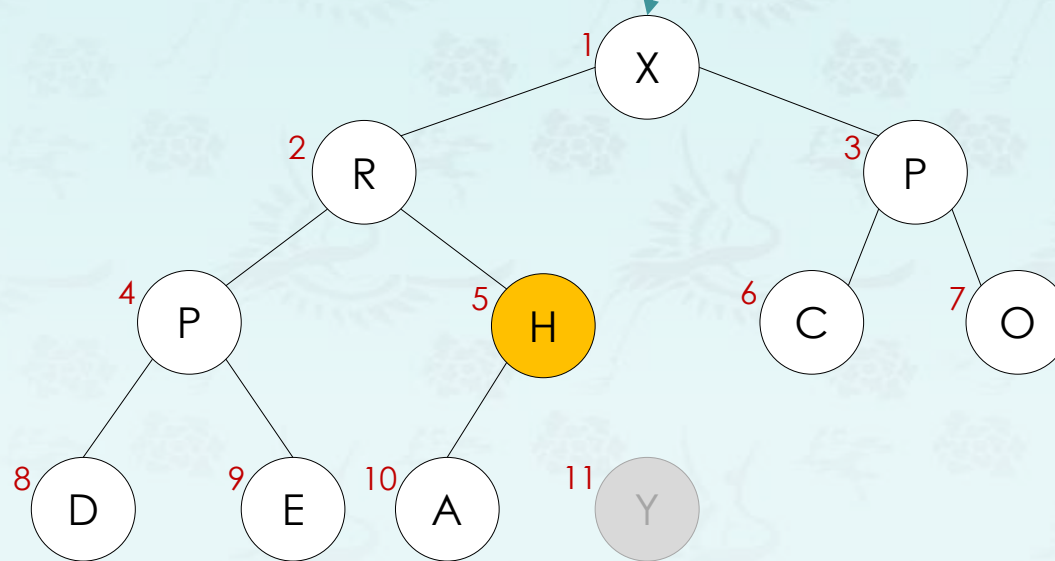


maxheap example

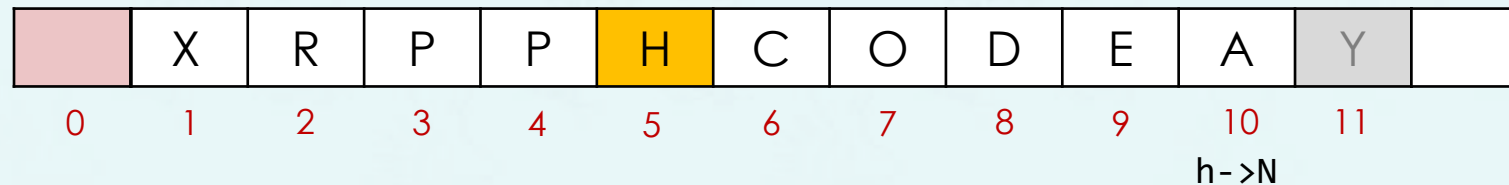
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• heap-ordered



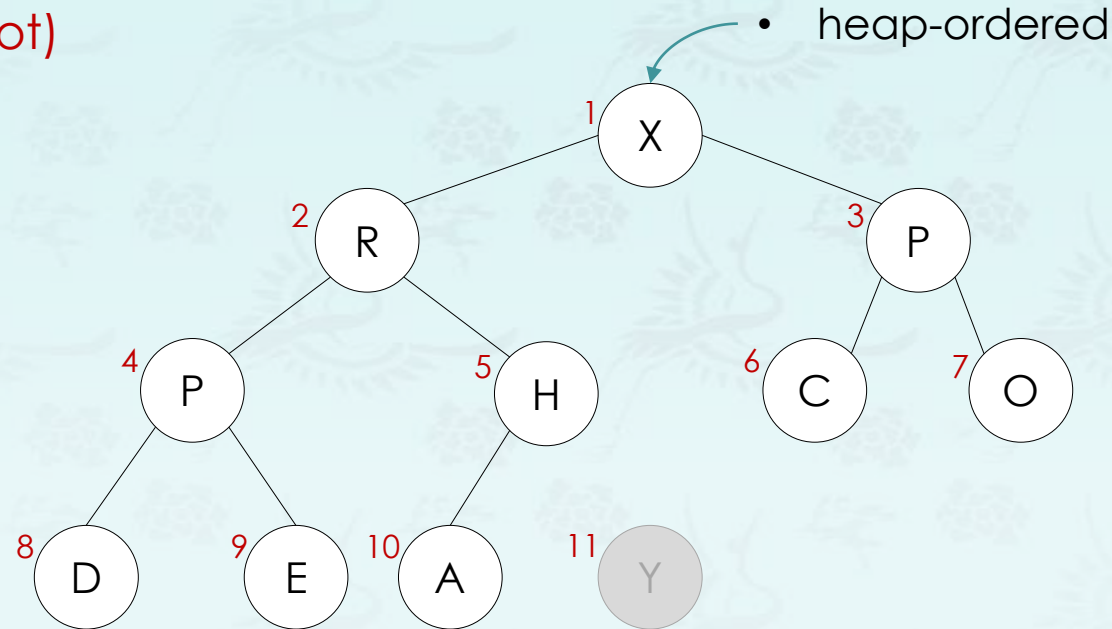
heap-ordered



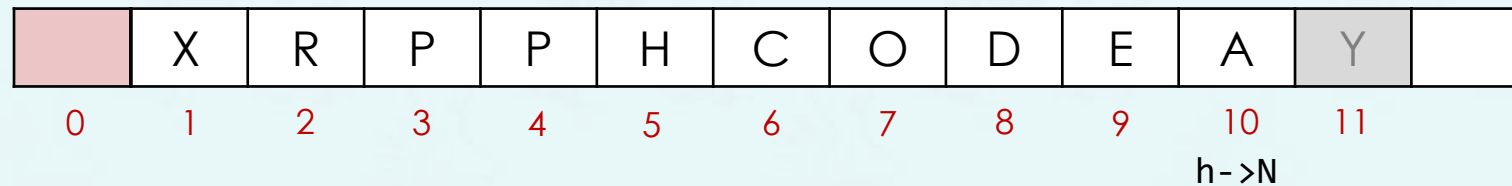
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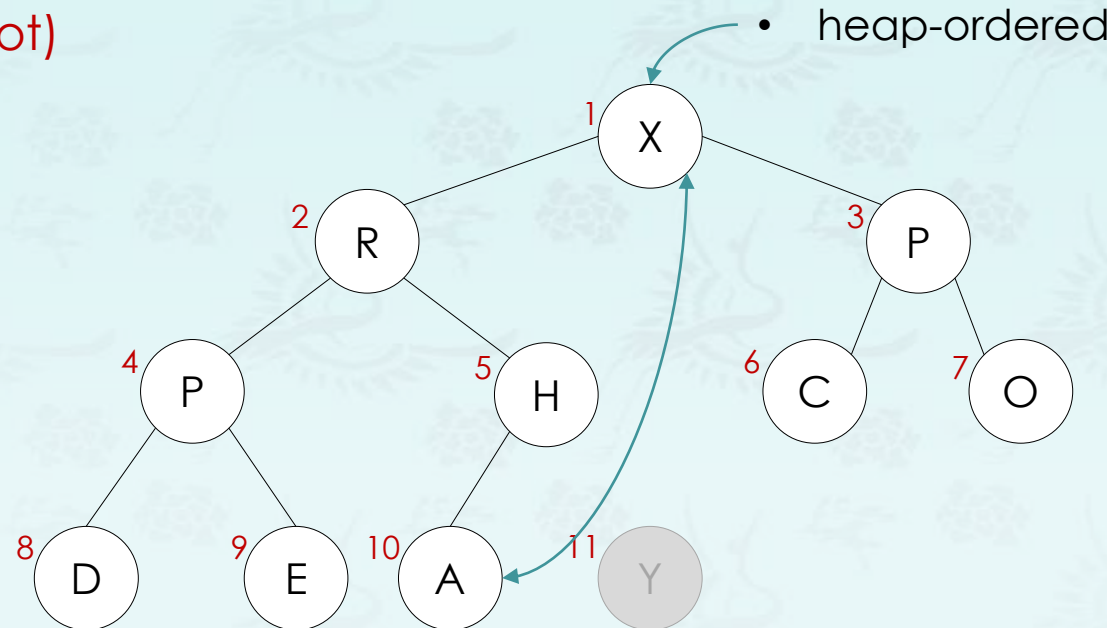
heap-ordered



maxheap example

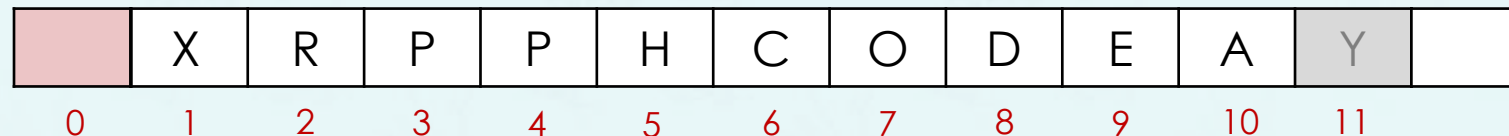
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swap(h, 1, h->N--)

heap-ordered

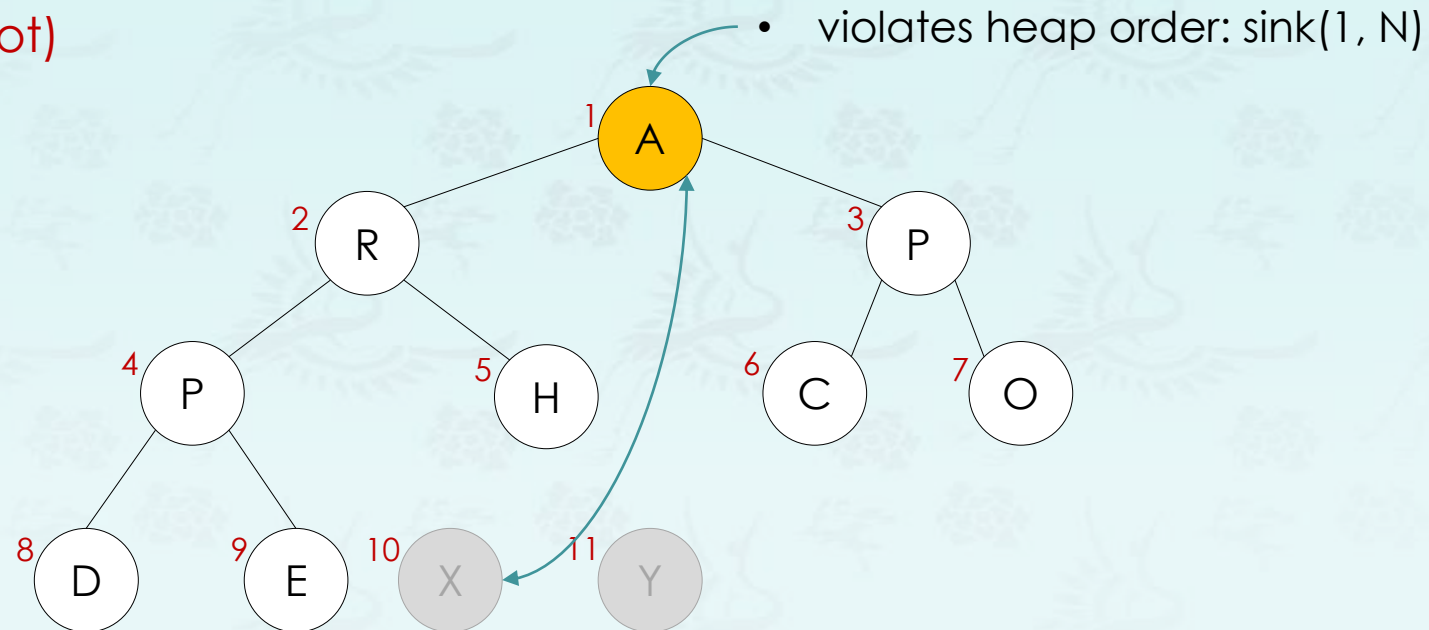


h->N heap size decreased by one

maxheap example

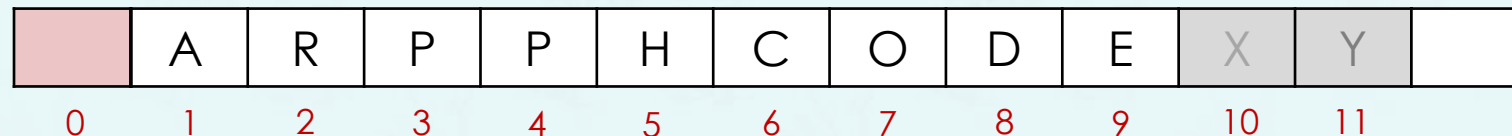
- **Insert:** Add node at end, then swim it up.
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swap(h, 1, h->N--)

heap-ordered

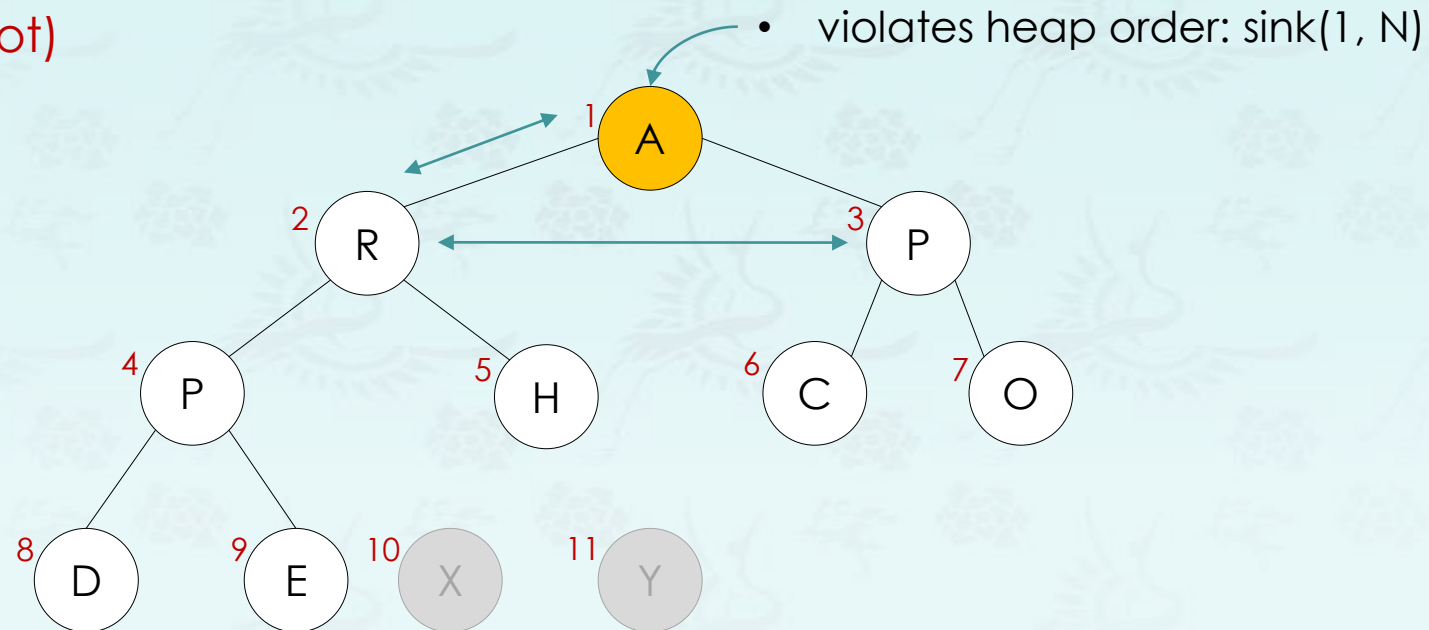


h->N heap size decreased by one

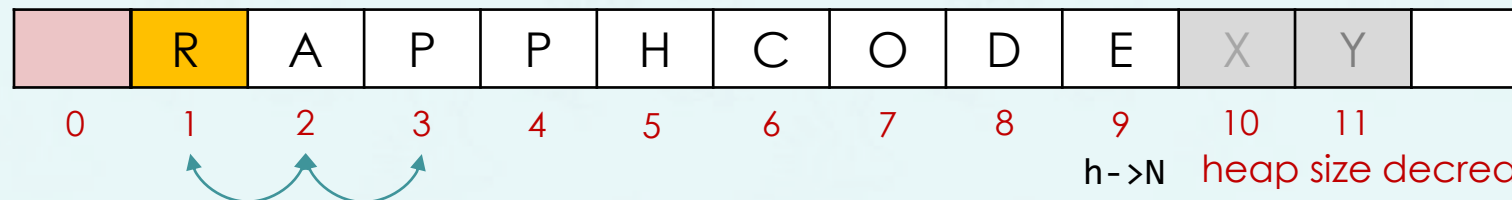
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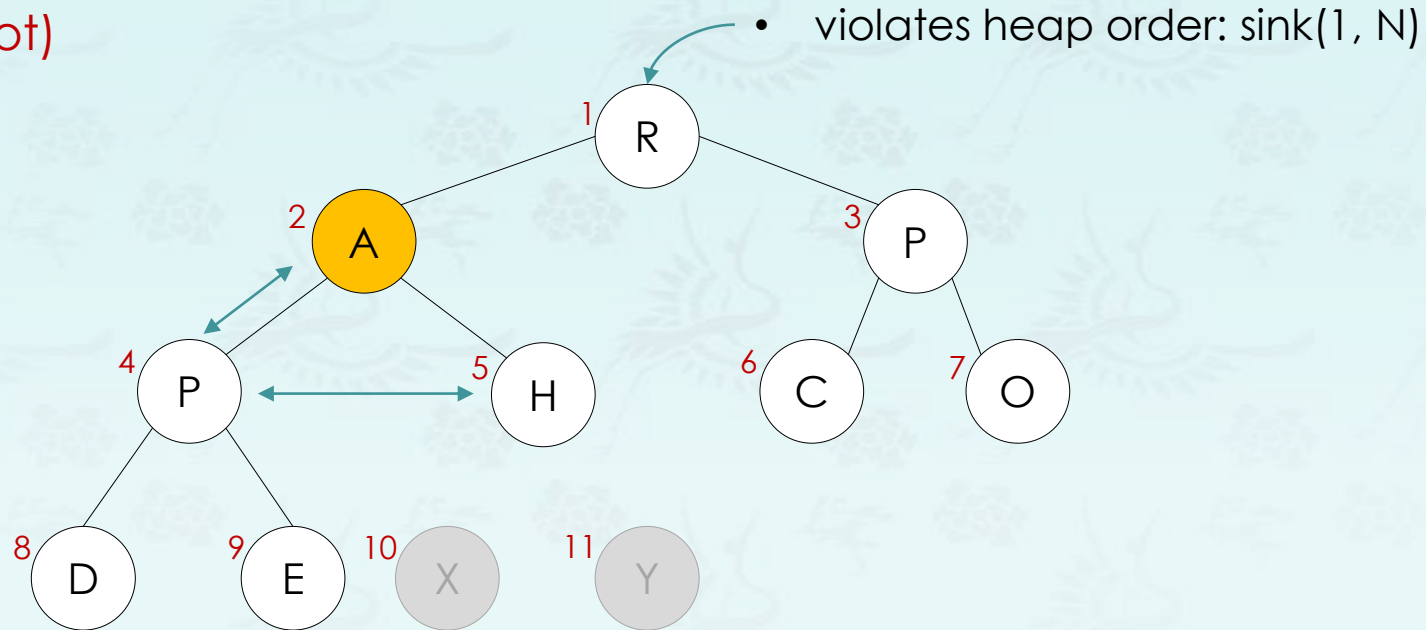
heap-ordered



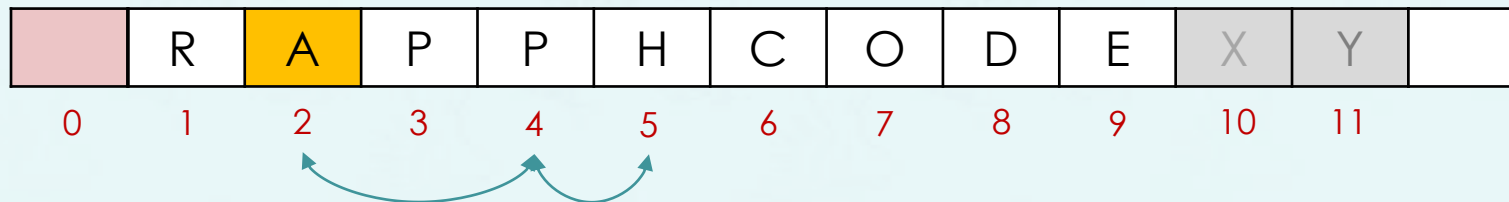
maxheap example

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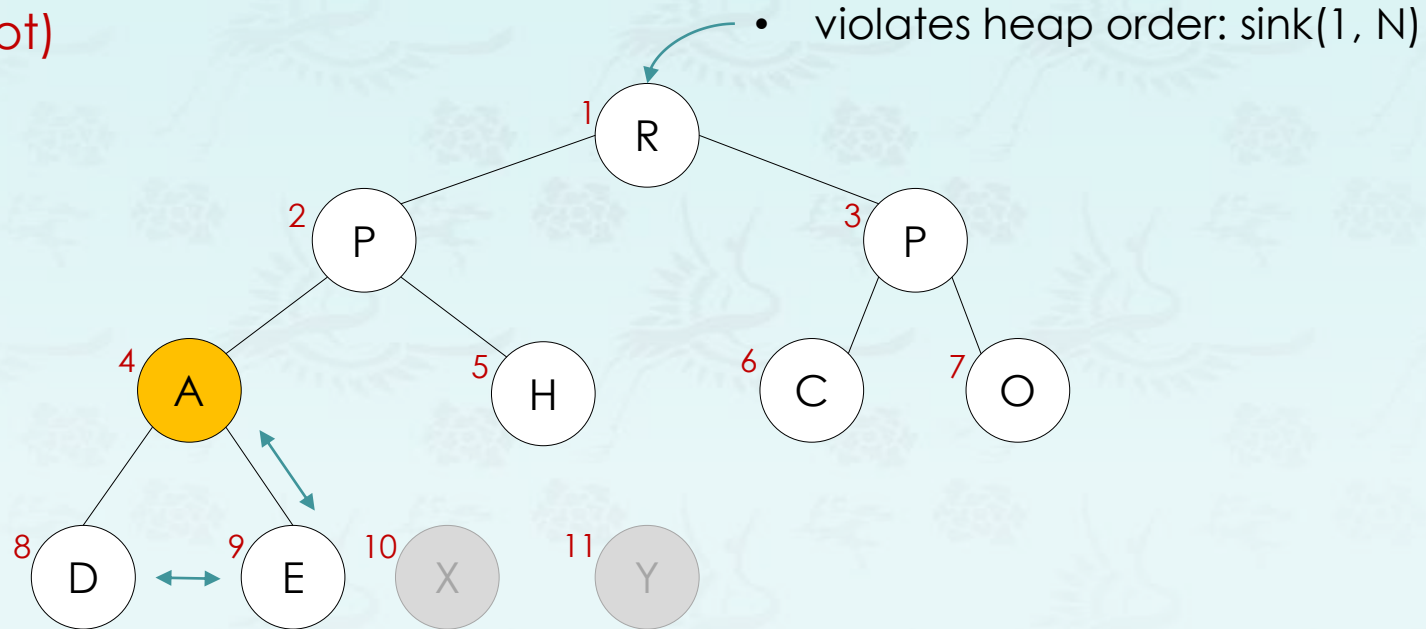
heap-ordered



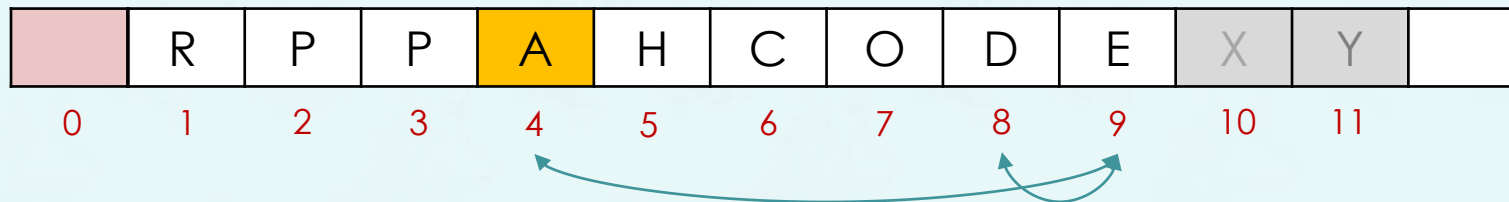
maxheap example

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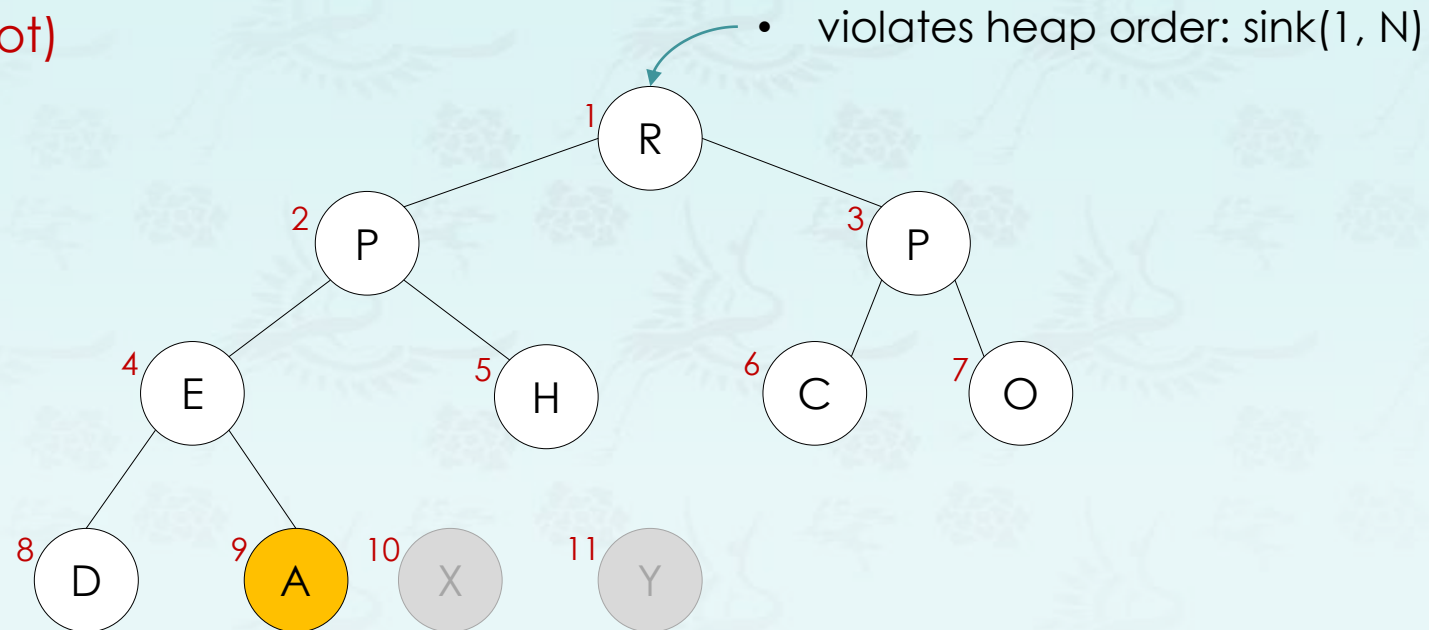
heap-ordered



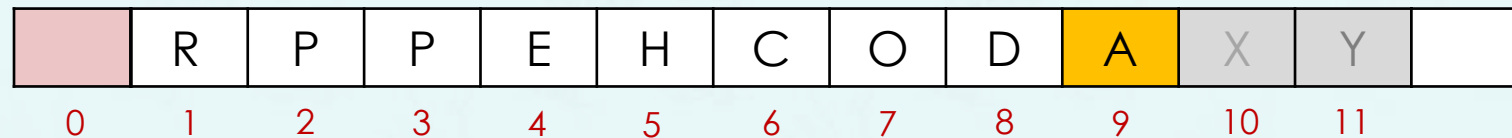
maxheap example

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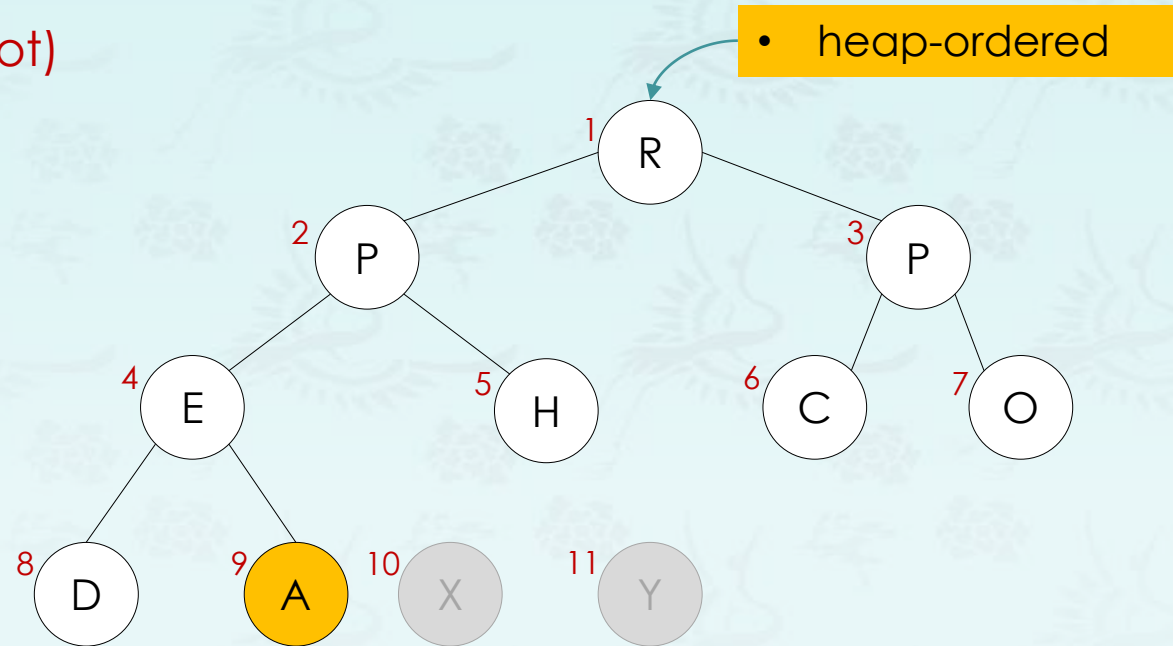
heap-ordered



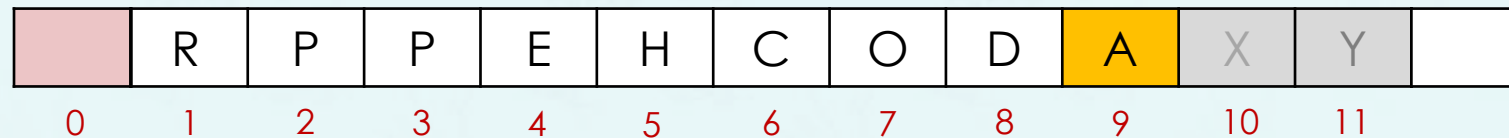
maxheap example

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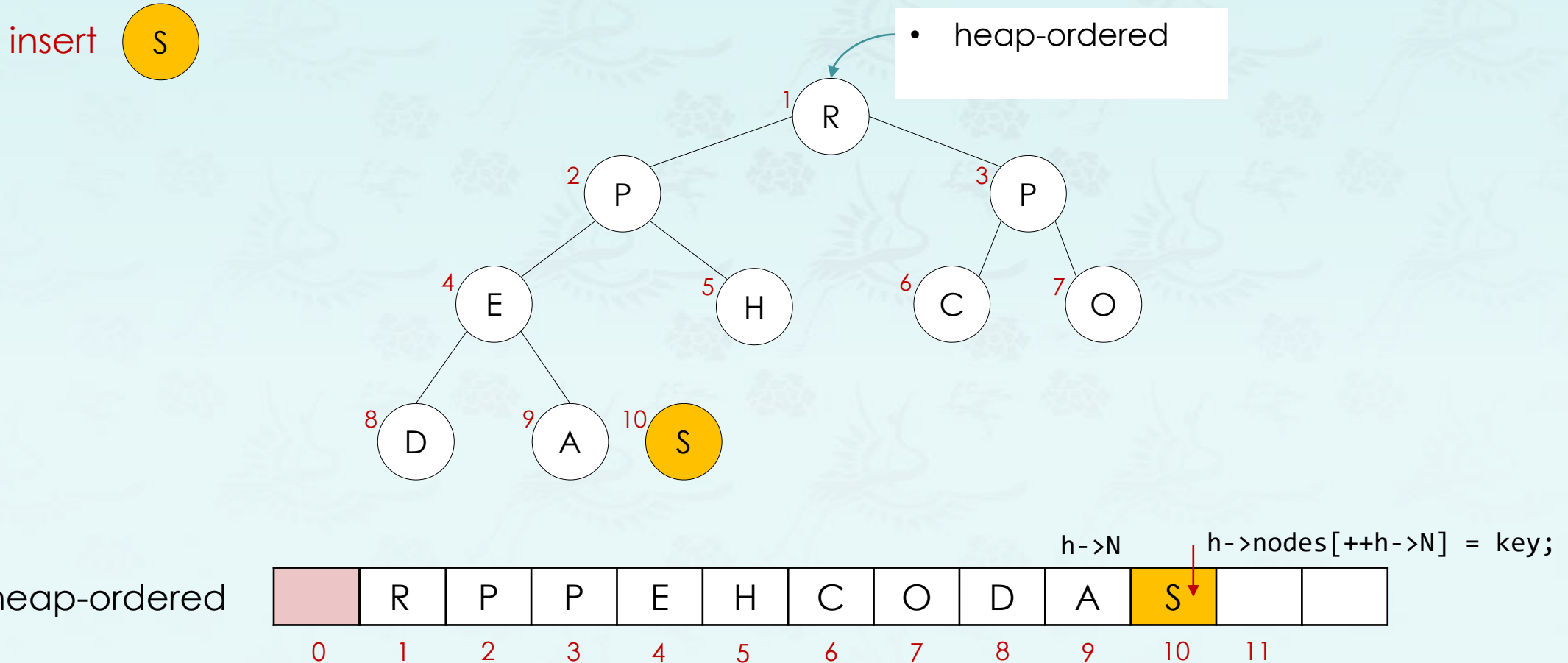


heap-ordered



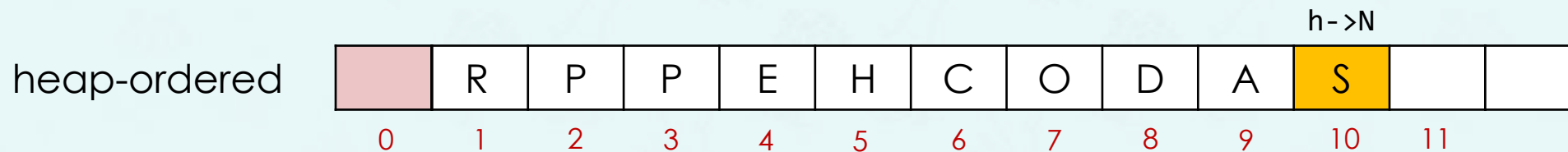
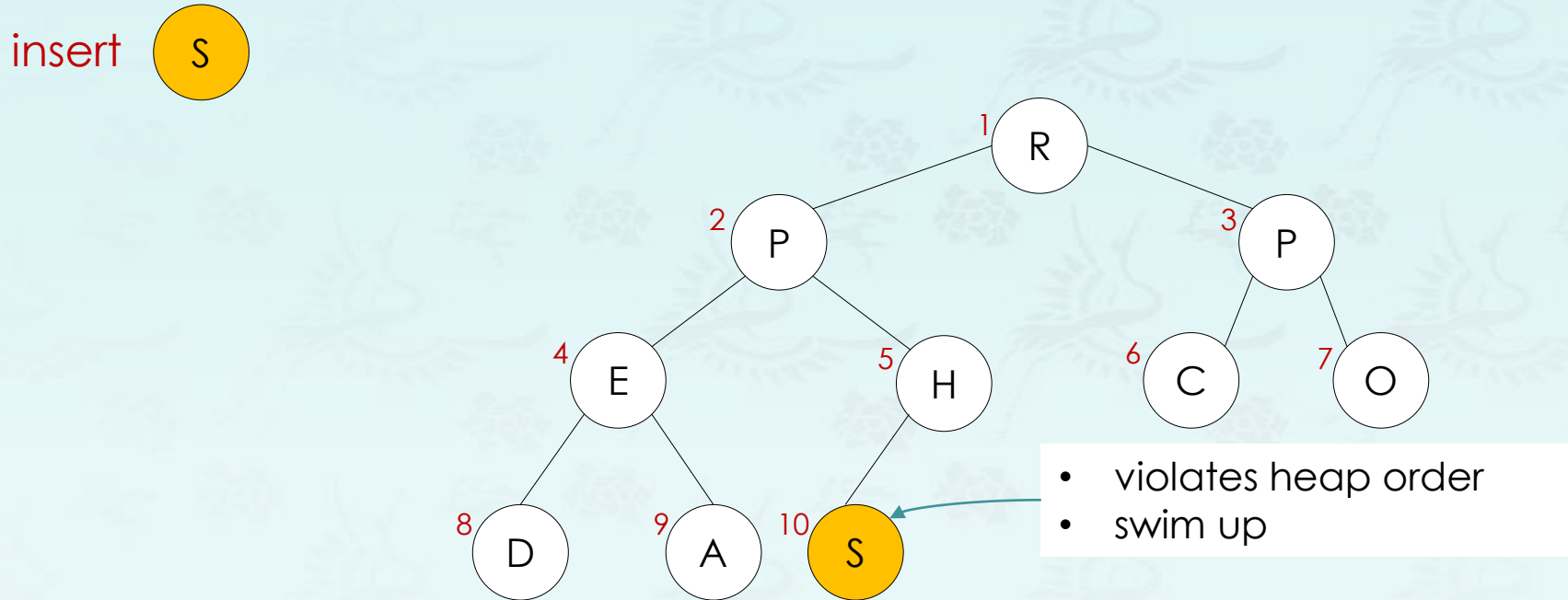
maxheap example

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maxheap example

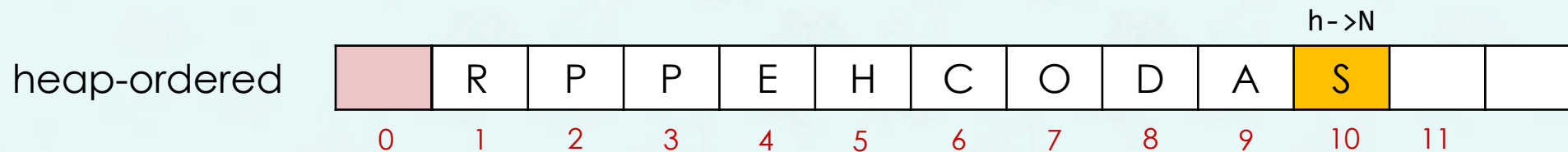
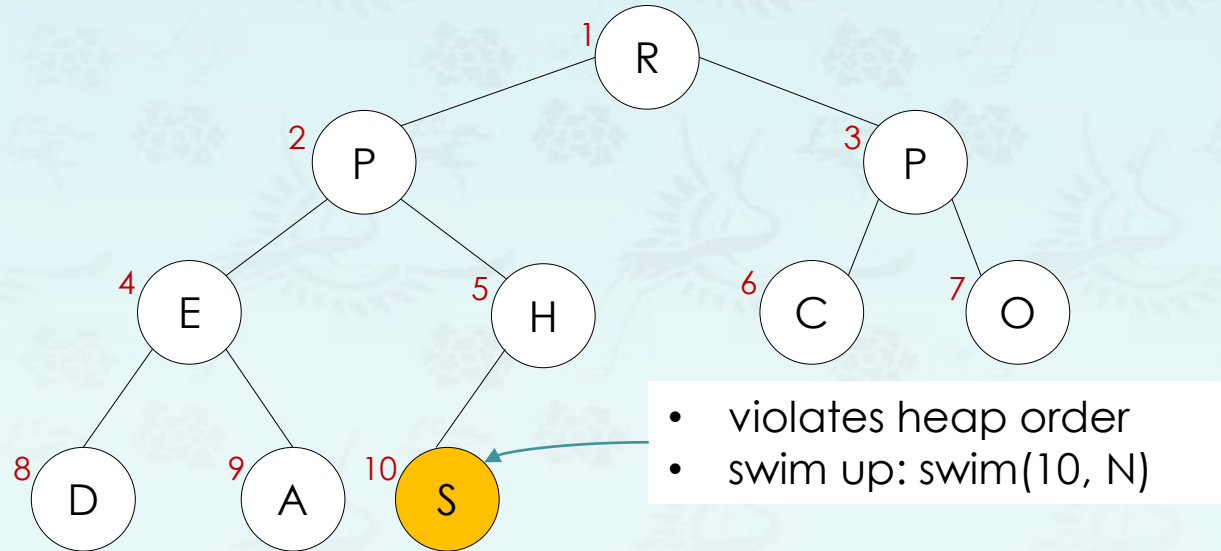
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maxheap example

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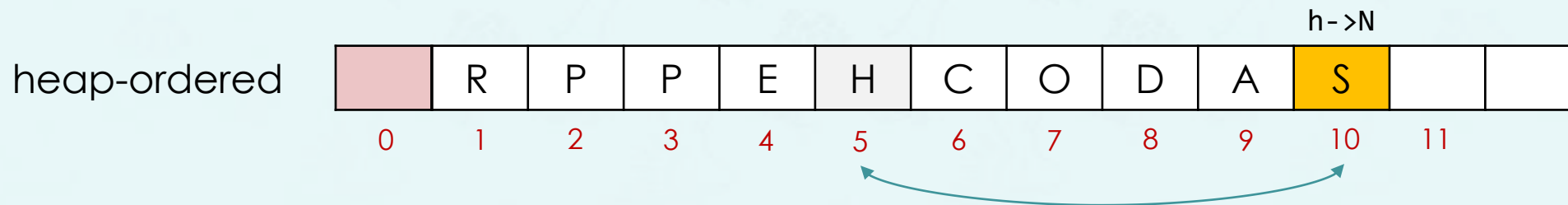
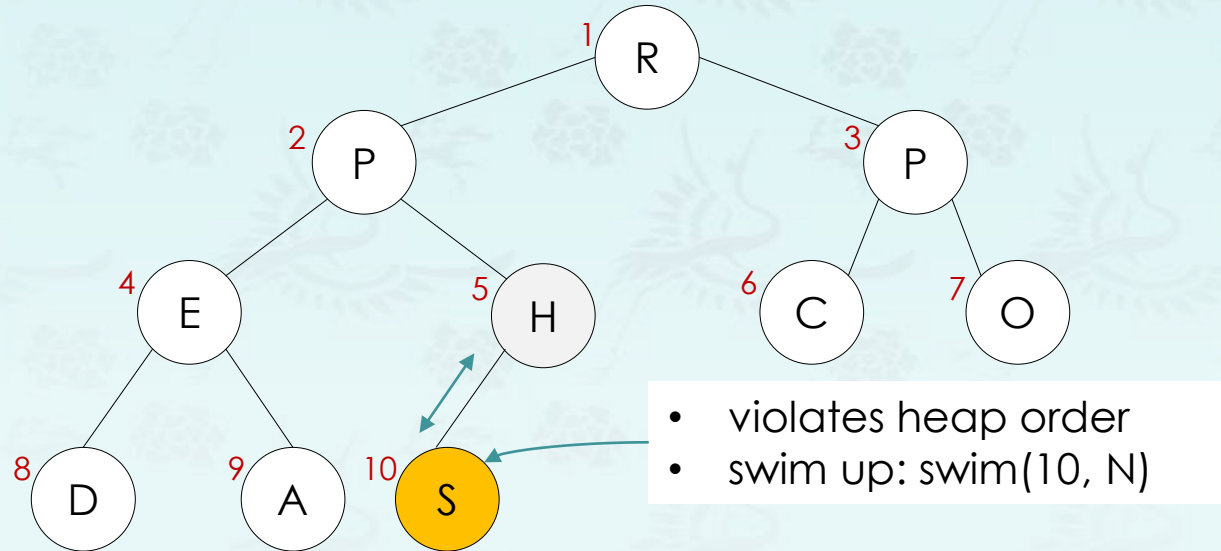
insert 



maxheap example

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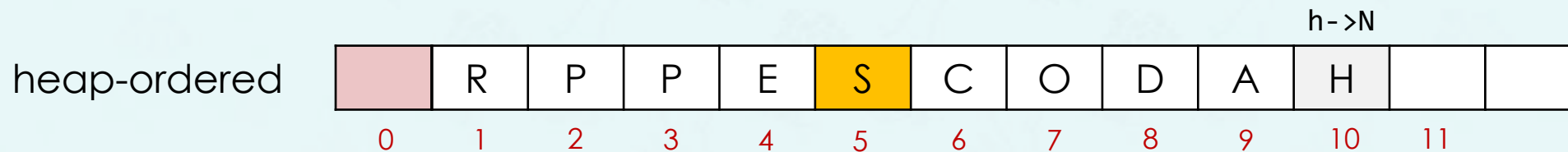
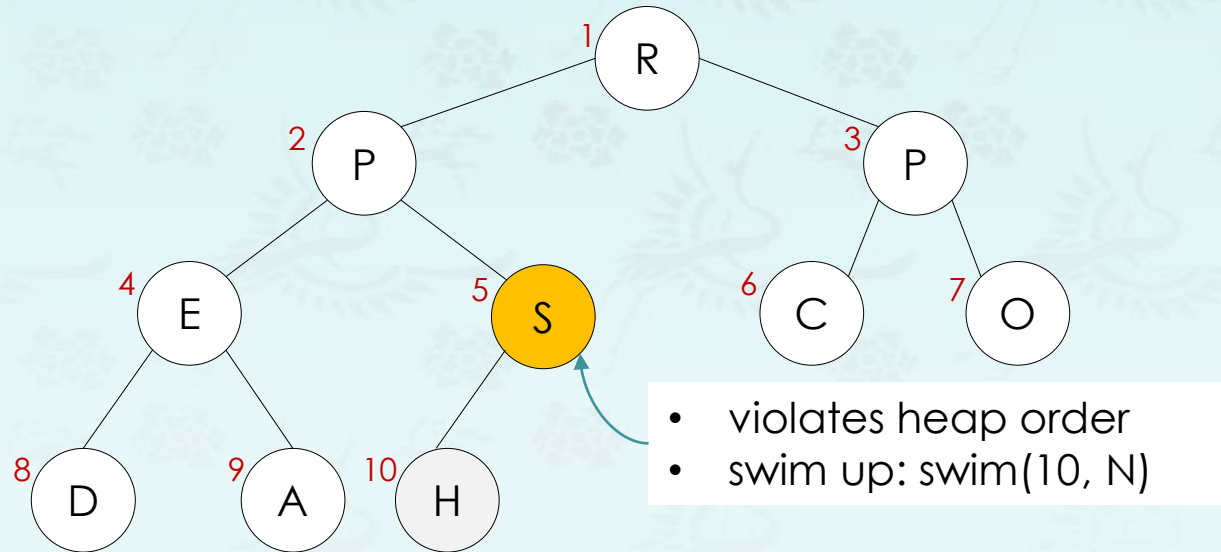
insert 



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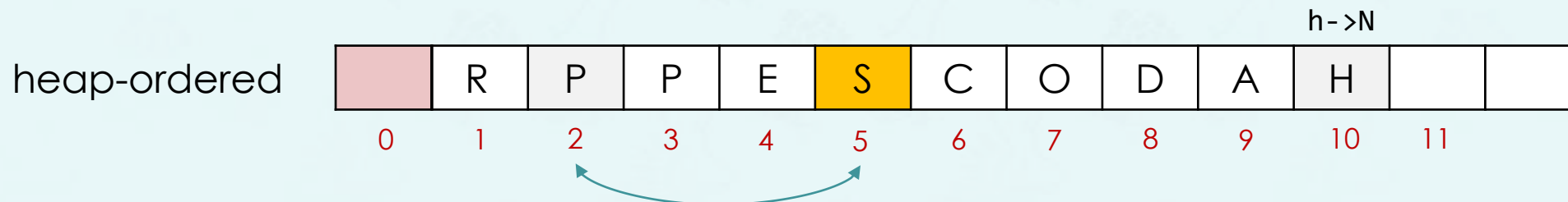
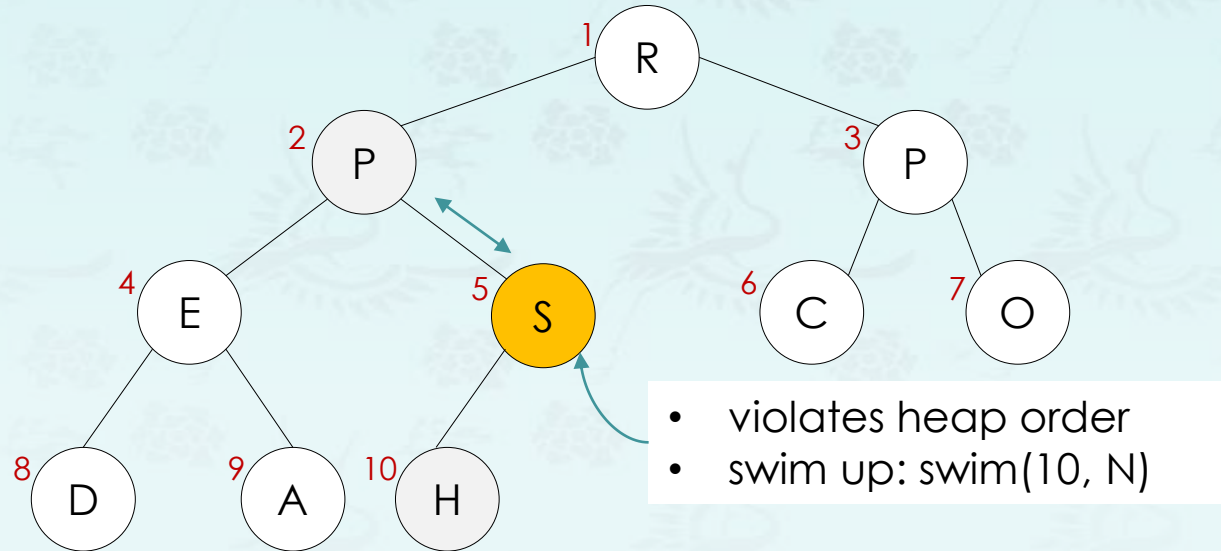
insert 



maxheap example

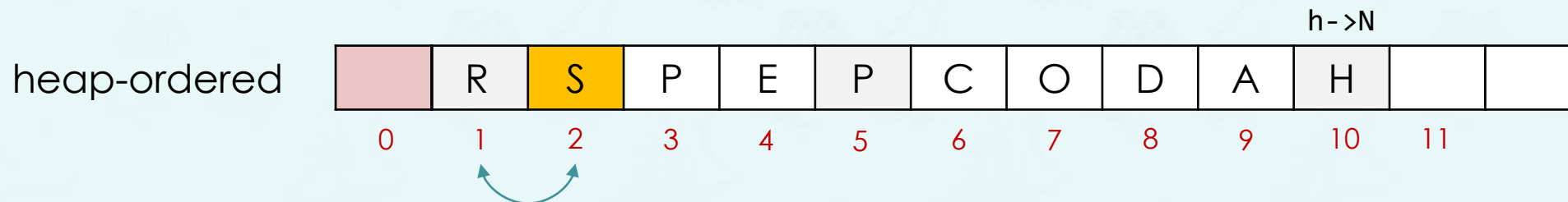
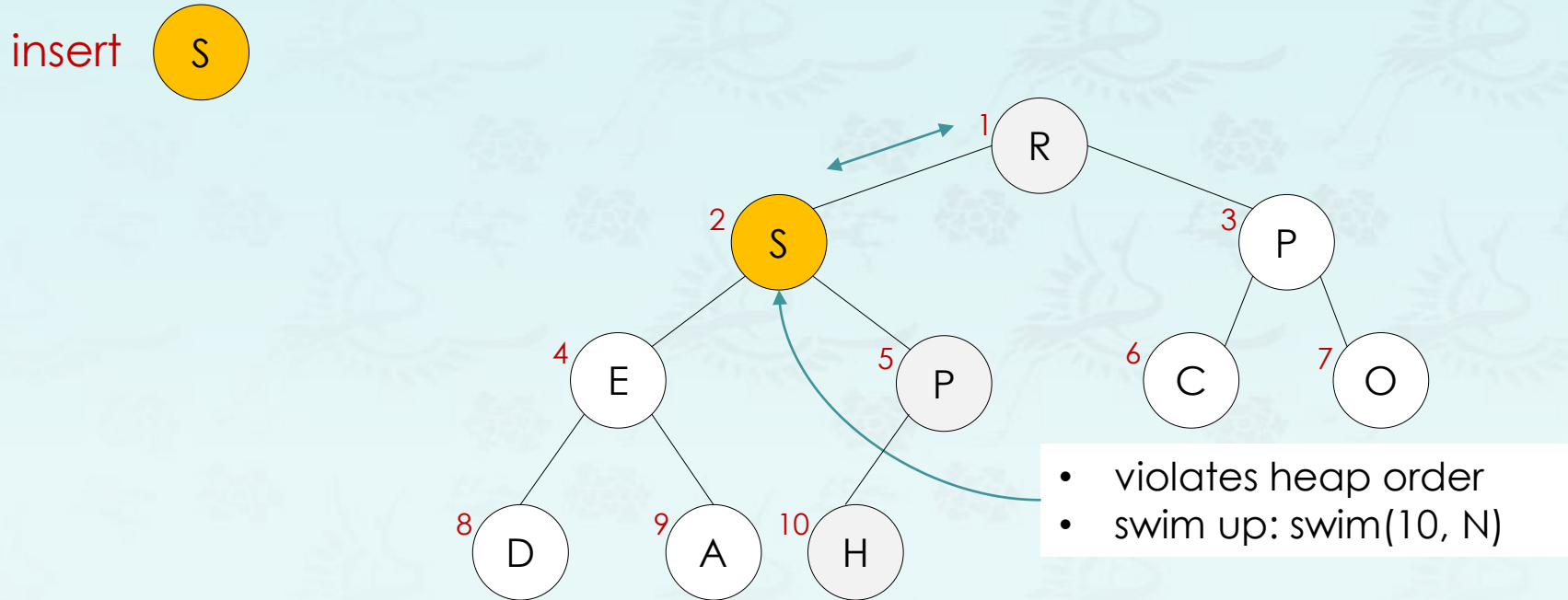
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maxheap example

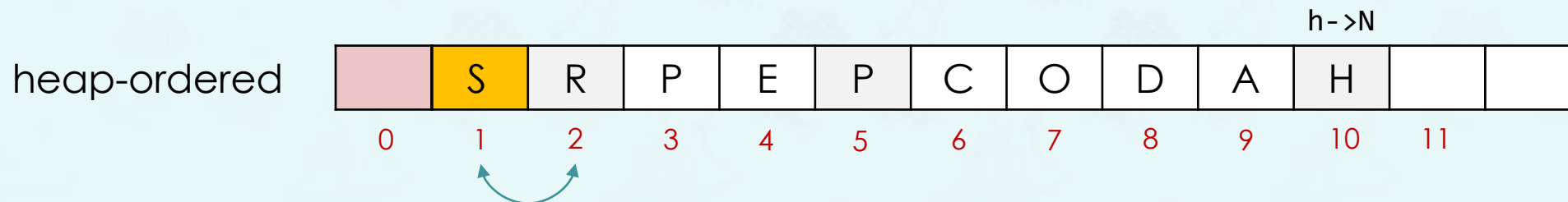
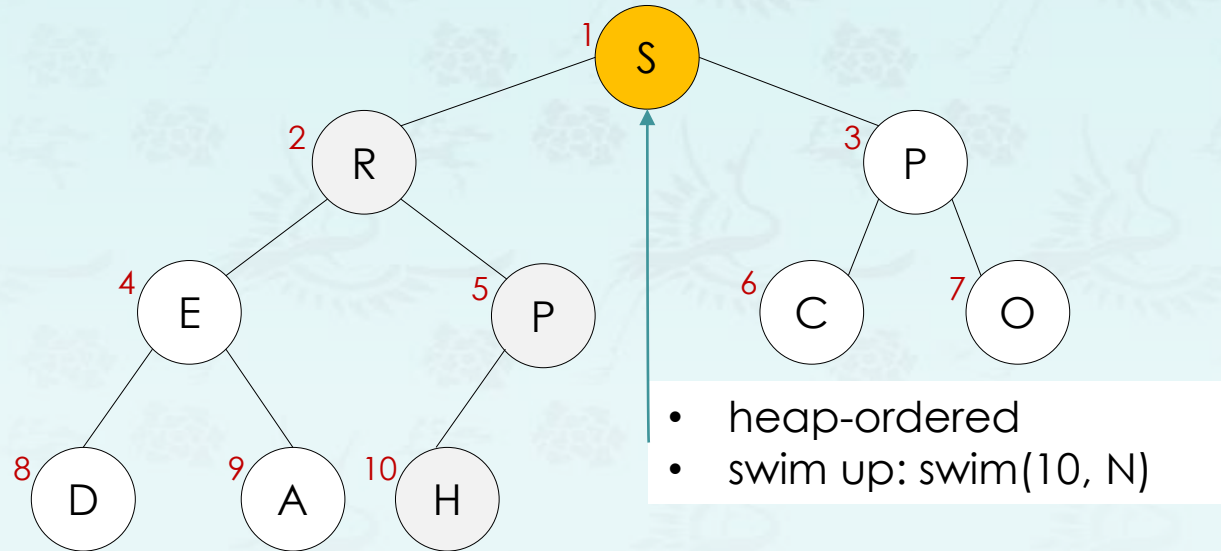
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maxheap example

- **Insert:** Add node at end, then swim it up.
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insert 



Binary heap operations time complexity with N items:

- Level of heap is $\lfloor \log_2 N \rfloor$
- insert: $O(\log N)$ for each insert
 - In practice, expect less
- delete: $O(\log N)$
 - deleting root node or any node in min/max heap
- decreaseKey, increaseKey: $O(\log N)$
- heapfy: $O(N)$
- Heapsort(): $O(n \log n)$
 - Because $O(N)$ heapify + $O(n \log n)$ remove nodes = $O(n \log n)$
- **Proof:**
 - <https://stackoverflow.com/questions/9755721/how-can-building-a-heap-be-on-time-complexity>
 - <https://www.insertingwiththeweb.com/data-structures/binary-heap/build-heap-proof/>
 - <https://www.quora.com/How-is-the-time-complexity-of-building-a-heap-is-o-n>
- **References in Korean:**
 - <https://ratsgo.github.io/data%20structure&algorithm/2017/09/27/heapsort/>
 - <https://zeddios.tistory.com/56>
 - <https://leeminju531.tistory.com/33>

Binary heap operations time complexity with N items:

Implementation	Insert	Delete	max
Unordered array	1	N	N
Ordered array	N	1	1
Binary heap	log N	log N	1

Mission Completed

References in Korean:

<https://ratsgo.github.io/data%20structure&algorithm/2017/09/27/heapsort/>

<https://zeddios.tistory.com/56>

Summary &
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Data Structures

Chapter 5: Heap and Priority Queue

1. introduction

- Complete Binary Tree (Review)
- Heap and Priority Queue

2. Binary Heap

- Min heap, Max heap
- Priority Queue

3. Heapsort

4. Heap & PQ Coding