03. Heaps, Heapsort, and the Sorting Lower Bound

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Kevin A. Wortman

CALIFORNIA STATE UNIVERSITY FULLERTON

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Heaps

"Heap" data structure in general

- like binary search tree, but weaker order condition
- find min/max fast, usually $\Theta(1)$
- insert/delete-min/max fast, $\Theta(\log n)$ or even $\Theta(1)$
- search slow, $\Theta(n)$

Applications

- operating system scheduler
- accelerate algorithms: selection sort (heapsort), Prim's MST algorithm, Dijkstra's shortest paths algorithm, others

Big Picture

Big idea in computer science: automata with simple local behavior can have amazing effects when assembled at scale

- finite states and Turing tape cells $\rightarrow$ Turing-complete computation
- CPU instructions $\rightarrow$ sophisticated software
- neural network nodes $\rightarrow$ teachable intelligent system
- hyptertext pages $\rightarrow$ the web
- compromised network hosts $\rightarrow$ distributed denial of service
- (today): tree nodes w/ different order and balance invariant $\rightarrow$ organize large datasets efficiently in different ways

Kinds of Heaps

Like binary search trees and hash tables, there are many competing variations of heap

- binary heap (covered here)
- Fibonacci heap
- quake heap
- hollow heap

Heap memory is a disparate concept and unfortunate naming clash

Binary Heap Order Invariant

Let parent node p have children l, r
Recall **BST invariant**: $l.key < p.key < r.key$
Binary **max-heap invariant**: $p.key \geq l.key$ and $p.key \geq r.key$
(sketch)

Implies

1. BST is totally sorted, but loosely balanced
2. heap-order is “half-baked” sort; can tell parent comes before children, but siblings are unsorted relative to each other
3. root must be overall maximum; that one element is perfectly sorted
4. tradeoff: heap can be more tightly balanced than BST

Max-Heap vs. Min-Heap

Max-heap: maximum key at root; $p.key \geq l.key, p.key \geq r.key$

Min-heap: minimum key at root; $p.key \leq l.key, p.key \leq r.key$

No significant difference in implementation; swap $<$ for $>$ in **if** statements

Max-heap is more convenient for sorting in non-decreasing order, so we'll focus on that

(Min-heap is more convenient for non-increasing sort, Prim, Dijkstra)

Binary Heap Balance Invariant

Height of a node: distance from bottom (root is highest)

Depth of a node: distance from root (leaves are deepest)

Heap is nearly-perfectly-balanced

- every level except the bottom is completely full
- bottom level: full on the left side, may be missing elements on the right side (sketch)
- (N.B. insisting on a completely perfect tree is impractical because it requires $(n+1)$ is a power of 2)
- $\implies$ tree height $\Theta(\log n)$

Arrayed Binary Heap

Arrayed structure: packs something into an array

- locality of reference $\implies$ good cache performance
- only one allocate/free per structure lifetime $\implies$ fast constant factors

Arrayed max-heap:

- partially-filled array $A[1, \ldots, n]$ stores k heap elements in $A[1, \ldots, k]$ for $k \leq n$
- root/maximum always in $A[1]$
- $PARENT(i) = \lfloor i/2 \rfloor$
- $LEFT(i) = 2i$
- $RIGHT(i) = 2i + 1$
- $PARENT, LEFT, RIGHT$ are $\Theta(1)$ and ordinarily only 1-2 CPU instructions each

Create Heap Operation

function CREATE-MAX-HEAP(A)
Require: A is an array of size n that may become a heap
Ensure: A is a valid, empty, heap
    $A.heapsize = 0$
end function

(Trivial pseudocode, but still worthwhile to write this down so that each operation is encapsulated and crystal clear.)

Clearly $\Theta(1)$ time

Find-Max Operation

```
function MAX-HEAP-MAXIMUM(A)
Require: A is a valid, non-empty heap
Ensure: returns the maximum key in A
    return A[1]
end function
```

Again, straightforward and clearly $\Theta(1)$ time

Max-Heapify Intro.

$MAX - HEAPIFY(A, i)$

- assuming $LEFT(i)$ and $RIGHT(i)$ obey the order invariant, ensure i obeys the invariant
- $A[i]$ might be OK, or might need to "float down" deeper
- Delete-max and build are easy once we have $MAX - HEAPIFY$
- $\Theta(\log n)$ time

Max-Heapify Pseudocode

```
function MAX-HEAPIFY(A, i)
Require: A is a heap, A[LEFT(i)] and A[RIGHT(i)] are heap-ordered
Ensure: A[i] is heap-ordered
    l = LEFT(i), r = RIGHT(i)
    if  l ≤ k and A[l] > A[i] then
        largest = l
    else
        largest = i
    end if
    if  r ≤ k and A[r] > A[largest] then
        largest = r
    end if
    if  largest ≠ i  then
        swap(A[i], A[largest])
        MAX − HEAPIFY(A, largest)
    end if
end function
```

Max-Heapify Analysis

- Suppose the subtree rooted at i contains n elements
- Everything except recursion takes $\Theta(1)$ time
- One recursive call on one child
- Worst-case: the child subtree we recurse into has more elements
- Balance invariant $\implies$ at least $1/3$ elements on right side $\implies$ at at most $2/3$ elements in worst case
- $T(n) = T(\frac{2}{3}n) + \Theta(1)$
- $T(n) \in \Theta(\log n)$ by master theorem case 2
- **Pushing the envelope**: for any fraction $f < 1$, including $f > \frac{1}{2}$, $T(fn) + \Theta(1) \in O(\log n)$

Delete-Max Operation

Idea: grab rightmost node on bottom level, move it to root, heapify root (sketch)

function MAX-HEAP-DELETE-MAX(A)
Require: A is a valid non-empty heap
Ensure: the maximum key in A is removed and then returned
    $max = A[1]$
    $A[1] = A[A.heapsize]$
    $A.heapsize = A.heapsize - 1$
    $MAX - HEAPIFY(A, 1)$
    return max
end function

Analysis: $\Theta(1)$ plus $MAX - HEAPIFY$ so $\Theta(\log n)$

Increase Key Operation

$A[i]$ “floats up” until it is either in heap-order, or becomes the root

```
function MAX-HEAP-INCREASE-KEY(A, i, key)
Require: A is a valid heap, 1 ≤ i ≤ n, key > A[i]
    A[i] = key
    while i > 1 and A[PARENT(i)] < A[i] do
        swap(A[i], A[PARENT(i)])
        i = PARENT(i)
    end while
end function
```

$\Theta(\text{depth of } A[i]) = \Theta(\log n)$ time

Insert

1: **function** MAX-HEAP-INSERT(A, key)
Require: A is a valid heap, $A.heapsize < n$
2: $A.heapsize = A.heapsize + 1$
3: $A[A.heapsize] = -\infty$
4: $MAX - HEAP - INCREASE - KEY(A, A.heapsize, key)$
5: **end function**

Analysis: $\Theta(1)$ plus $MAX - HEAP - INCREASE - KEY$, so $\Theta(\log n)$

Build-Heap

Online/incremental construction: build structure one element at a time

Offline construction/build: given n elements all at once, build valid data structure

Offline is often faster, by constant factors or even asymptotically

Leaves are trivially in heap order and live in $A[\lfloor n/2 \rfloor + 1, \ldots, n]$

Parents might be out of heap-order and live in $A[1, \ldots, \lfloor n/2 \rfloor]$

Just heapify all the parents!

Build-Heap Pseudocode

function BUILD-MAX-HEAP(A)

Require: $A[1, \ldots, n]$ may or may not be in heap-order

Ensure: $A[1, \ldots, n]$ is in heap-order

    $A.heapsize = n$

    for i from $\lfloor n/2 \rfloor$ down to 1 **do**

        $MAX - HEAPIFY(A, i)$

    end for

end function

Build-Heap Analysis

Loose analysis: if $A[i]$ is at height h, $MAX - HEAPIFY$ takes $\Theta(h)$; $h \in O(\log n)$, so each call is $O(\log n)$; n calls; so $O(n \log n)$ (Correct but loose upper bound.)

Fact about balanced binary trees:

- Sum of all node **depths** is $\Theta(n \log n)$
- Sum of all node **heights** is $\Theta(n)$
- Observe that $1/2$ of ndoes are at height 0, $1/4$ at height 1, $1/8$ at height 2, etc.
- (sketch)

n calls to $MAX - HEAPIFY$ take time
$\Theta(\sum_i($ height of $i)) = \Theta(n)$
$\therefore$ $BUILD - MAX - HEAP$ takes $\Theta(n)$ time

Arrayed Binary Max-Heap Summary

Operation	**Time Compl.**
Create empty heap	$\Theta(1)$
Find maximum element	$\Theta(1)$
Insert one element	$\Theta(\log n)$
Delete and return maximum element	$\Theta(\log n)$
Increase key of previously-inserted element	$\Theta(\log n)$
Build n-element heap offline	$\Theta(n)$

Heapsort Intro

- Reduction to max-heap operations
- Selection sort: find maximum unsorted element, place at back of sorted array, repeat until done
- Use max-heap to accelerate "find maximum" step
- Convenient: if heap holds $k \leq n$ elements, it occupies $A[1, \ldots, k]$
- Remaining $n - k$ elements $A[k + 1, \ldots, n]$ are free to hold sorted elements

High-level heapsort

1. Build-heap; all n elements hold a valid heap
2. Delete-max; removes maximum element from heap zone, vacates one element in array
3. Move the old max into the vacancy
4. Repeat until done

Heapsort Pseudocode

function HEAPSORT(A[1, . . . , n])
Ensure: A is in non-decreasing order
  $BUILD - MAX - HEAP(A)$
  for i from n down to 2 **do**
    $A[i] = MAX - HEAP - DELETE - MAX(A)$
  end for
end function

(Observe: no need for $i = 1$ iteration.)

Analysis

- build-heap $= \Theta(n)$
- $(n - 1)$ iterations of loop $\times\, \Theta(\log n)$ each
- $= \Theta(n \log n)$ total

Sorting Lower Bound

So far all our sorts have compared elements to each other, e.g.
$A[i] < A[j]$
(insertion, selection, merge, heap sort; also quick sort)

Q: what is the minimum number of comparisons adequate to sort?

A: enough to decide which of the $n!$ permutations of A would be in order

Binary search through a set of N things takes $\lceil \log_2 N \rceil$ steps
$\implies$ correct sort makes $\geq \lceil \log_2 n! \rceil$ comparison operations
$= \Omega(n \log n)$ comparisons
$\therefore$ every comparison-based sorting algorithm takes $\Omega(n \log n)$ time
(**sorting lower bound**)

Optimal Algorithms

Optimal Algorithm: time complexity matches problem's lower bound

E.g.

- Proven $\Omega(n \log n)$ lower bound for sorting
- Merge sort, heap sort take $\Theta(n \log n)$ time
- $\implies$ merge sort, heap sort are **optimal**

(Heap sort is theoretically superior because it is in-place. Practical constant factors depends on whether allocation (mergesort) or cache misses (heapsort) are costlier.)

Optimal algorithms are the end-goal of algorithm design and lower-bound analysis.

Epilogue — Sorted Order vs. Heap Order

We can sort by building a heap/BST and then retrieving elements in order.

Sorting lower bound $\implies$ that process **must** be $\Omega(n \log n)$

Phase of sorting	**BST**	**heap**
Build structure	$\Theta(n \log n)$	$\Theta(n)$
Retrieve in order	$\Theta(n)$	$\Theta(n \log n)$

Whack-a-mole: a $\Omega(n \log n)$ phase inevitably pops up somewhere!

Heap-order is not organized enough to be asymptotically significant, which is why it can be $o(n \log n)$, and maintain a stronger balance invariant than BSTs.