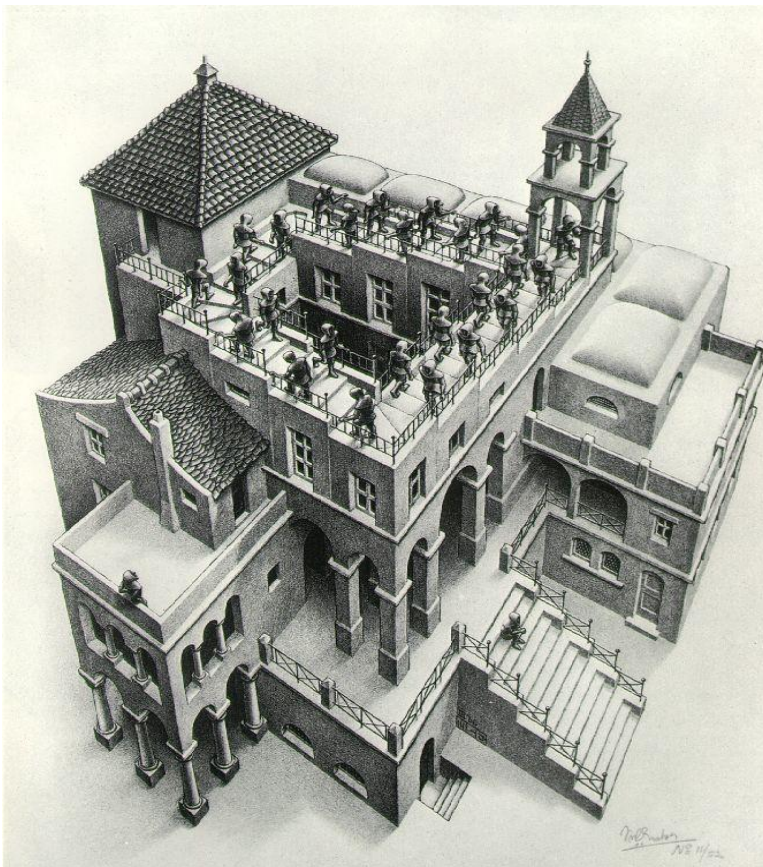# CS/ENGRD 2110
# Object-Oriented Programming and Data Structures

Spring 2012
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Lecture 17: Heaps and Priority Queues

Stacks and Queues as Lists

- Stack (LIFO) implemented as list
  - insert (i.e. push) to, extract (i.e. pop) from front of list

- Queue (FIFO) implemented as list
  - insert (i.e. add) on back of list, extract (i.e. poll) from front of list

- All operations are O(1)

first → `55` → `120` → `19` → `16`

last ⟶ `16`
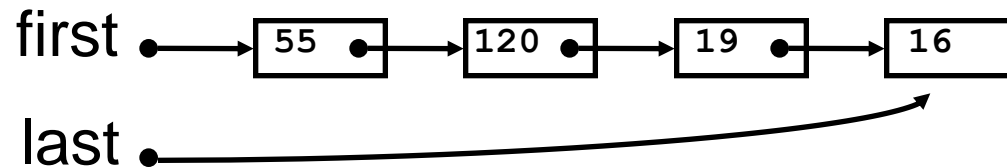
Priority Queue

- ADT Definition
  - data items are **Comparable**
  - *lesser* elements (as determined by **compareTo()**) have *higher* priority
  - **extract()** returns the element with the highest priority
    - i.e. least in the **compareTo()** ordering
  - break ties arbitrarily
    - alternatively could break ties FIFO, but lets keep it simple

Priority Queue Examples

- Scheduling jobs to run on a computer
  - default priority = arrival time
  - priority can be changed by operator

- Scheduling events to be processed by an event handler
  - priority = time of occurrence

- Airline check-in
  - first class, business class, coach
  - FIFO within each class

java.util.PriorityQueue<E>

```java
boolean add(E e) {...} //insert an element (insert)
void clear() {...} //remove all elements
E peek() {...} //return min element without removing
                //(null if empty)
E poll() {...} //remove min element (extract)
                //(null if empty)
int size() {...}
```

Priority Queues as Lists

- Maintain as *unordered* list (i.e. queue)
  - `insert()` puts new element at front – O(1)
  - `extract()` must search the list – O(n)

- Maintain as *ordered* list
  - `insert()` must search the list – O(n)
  - `extract()` gets element at front – O(1)

- In either case, $O(n^2)$ to process n elements

- Can we do better?

Important Special Case

- Fixed (and small) number of p priority levels
  - Queue within each level
  - Example: airline check-in

- insert() – insert in appropriate queue – O(1)
- extract() – must find a nonempty queue – O(p)

Heaps

- A *heap* is a concrete data structure that can be used to implement priority queues

- Gives better complexity than either ordered or unordered list implementation:
  - insert(): O(log n)
  - extract(): O(log n)
  - → O(n log n) to process n elements

  NOTE: Do not confuse with heap memory, where the Java virtual machine allocates space for objects – different usage of the word heap

Heap Invariant

- Binary tree with data at each node

- Satisfies the Heap Order Invariant:

The least (highest priority) element of any subtree is found at the root of that subtree.

Least element in any subtree is always found at the root of that subtree

```
                    4
                  /   \
                 6      14
                / \    /  \
              21   8  19   35
             / \  / \  |
            22 38 55 10 20
```
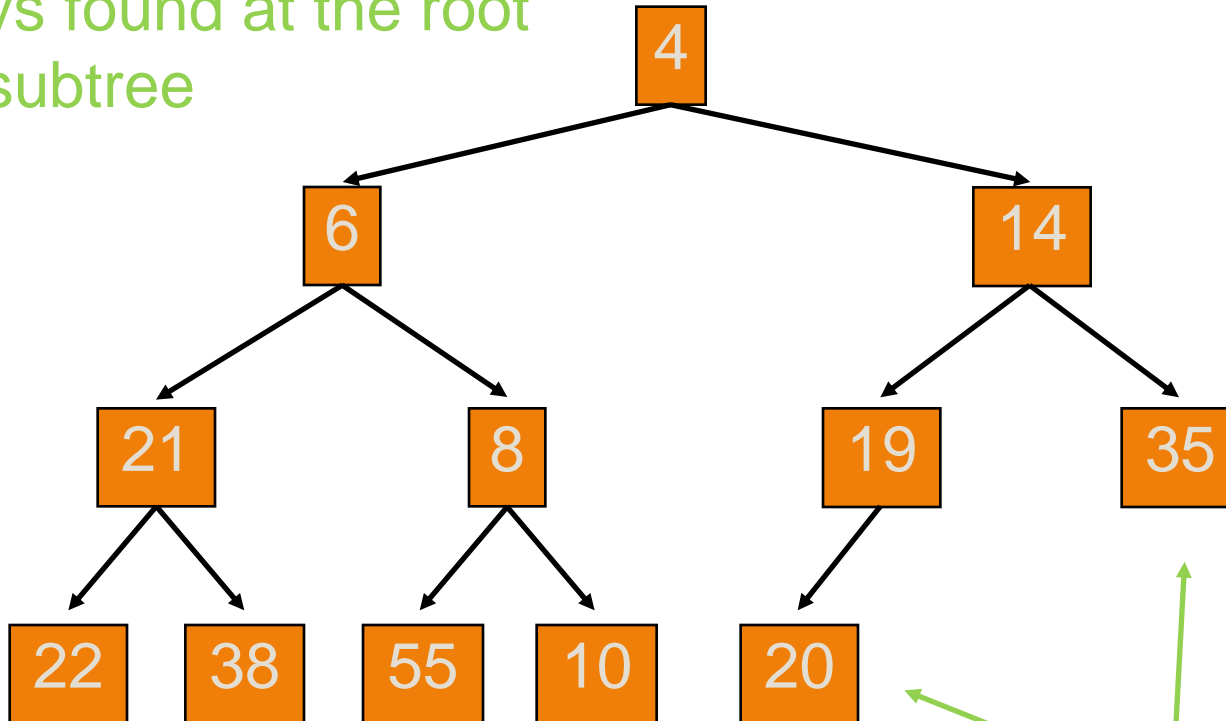
But it is possible to have smaller elements deeper in the tree!

Examples of Heaps

- Ages of people in family tree
  - parent is always older than children, but you can have an uncle who is younger than you

- Salaries of employees of a company
  - bosses generally make more than subordinates, but a VP in one subdivision may make less than a Project Supervisor in a different subdivision

Balanced Heaps

- Two restrictions:
  - Any node of depth < d − 1 has exactly 2 children, where d is the height of the tree
    - implies that any two maximal paths (path from a root to a leaf) are of length d or d − 1, and the tree has at least 2d nodes
  - All maximal paths of length d are to the left of those of length d − 1

A Balanced Heap

d = 3
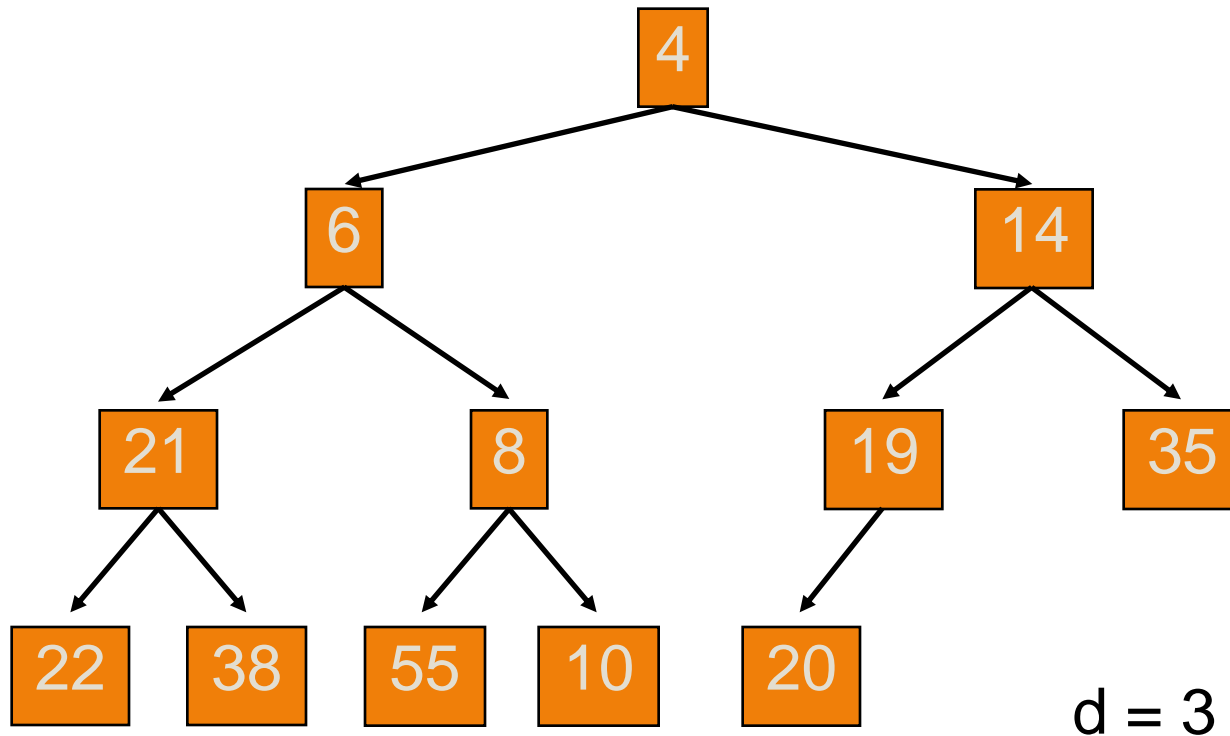
Store in an ArrayList

- Elements of the heap are stored in the array in order, going across each level from left to right, top to bottom

- The children of the node at array index n are found at 2n + 1 and 2n + 2

- The parent of node n is found at (n − 1)/2

Store in an ArrayList
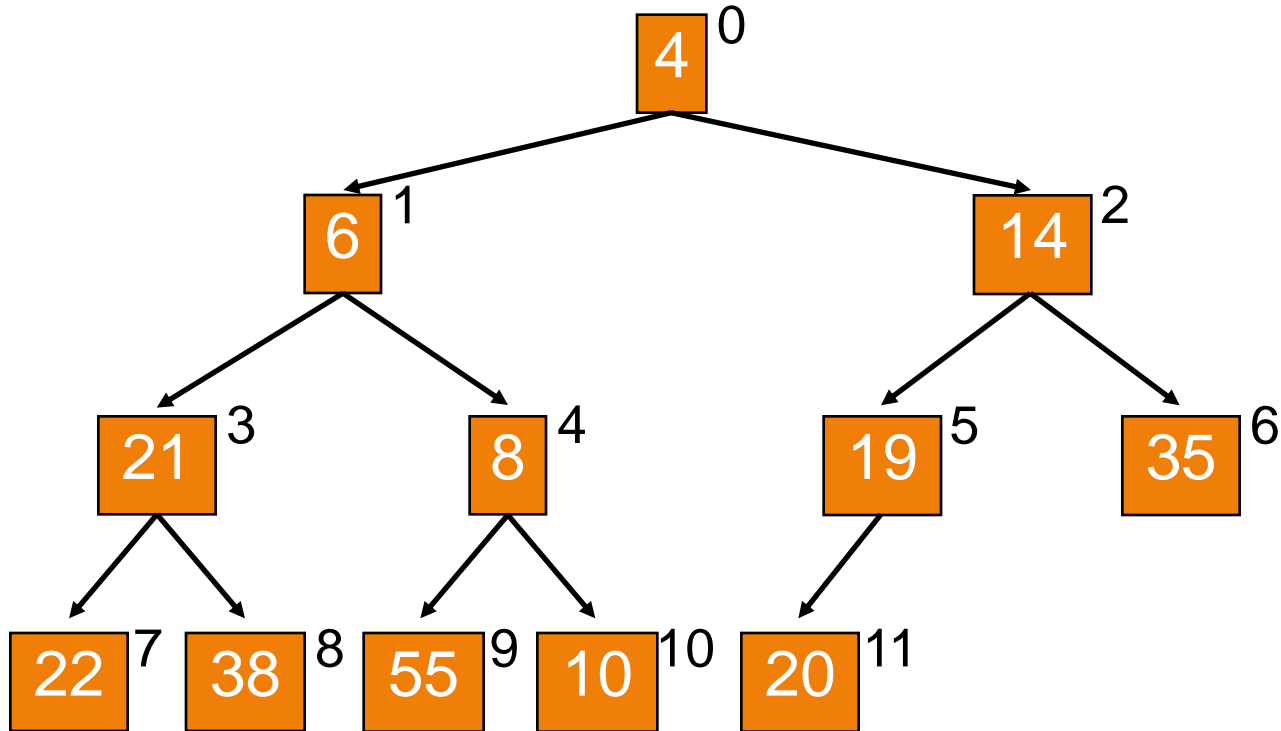
children of node n are found at 2n + 1 and 2n + 2

insert()

- Put the new element at the end of the array

- If this violates heap order because it is smaller than its parent, swap it with its parent

- Continue swapping it up until it finds its rightful place

→ The heap invariant is maintained!

insert() Example
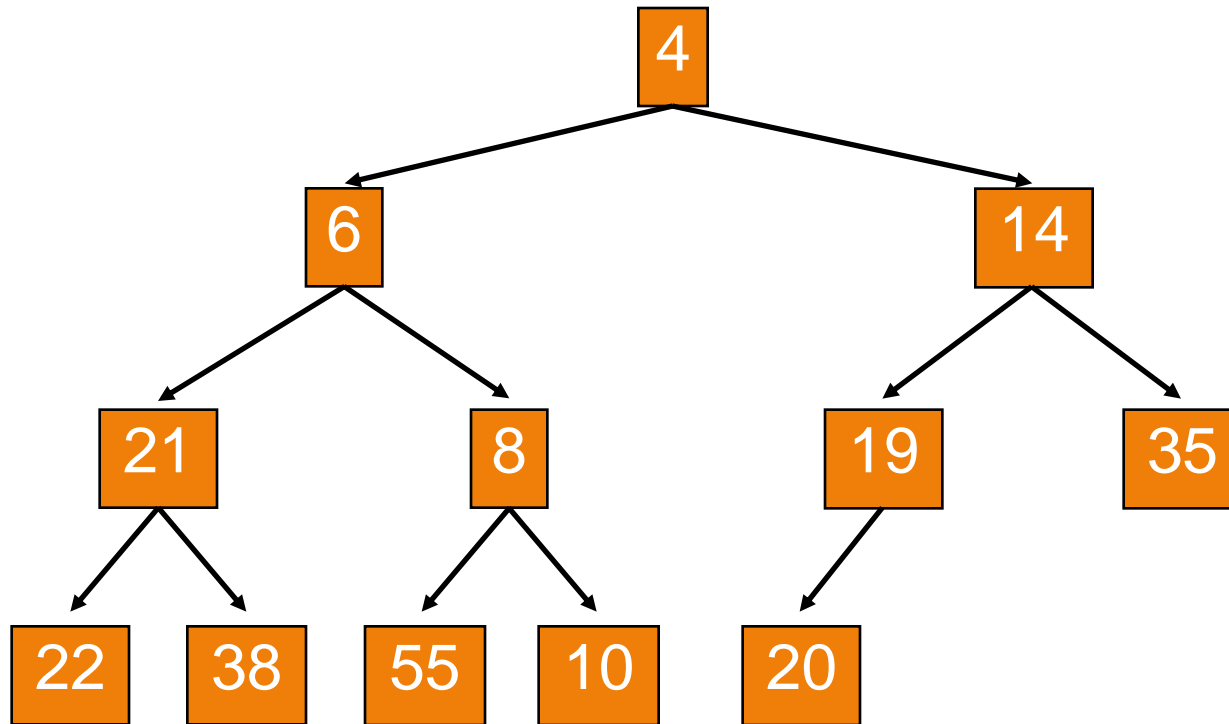
insert() Example
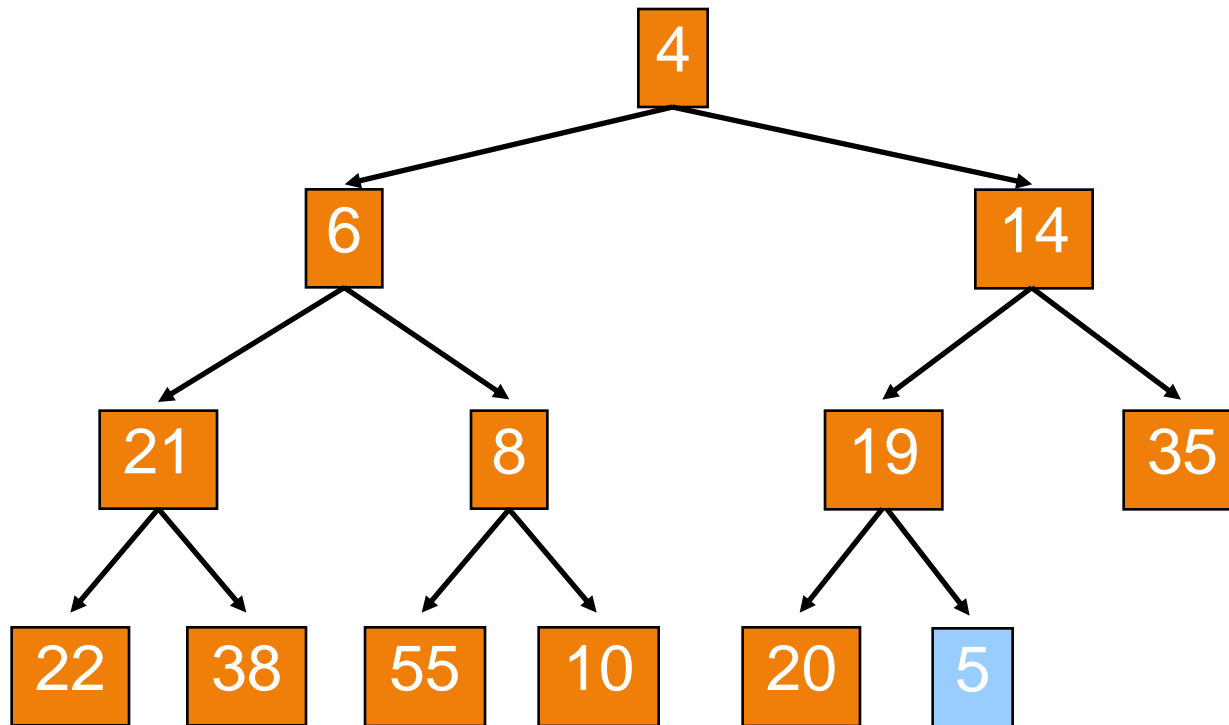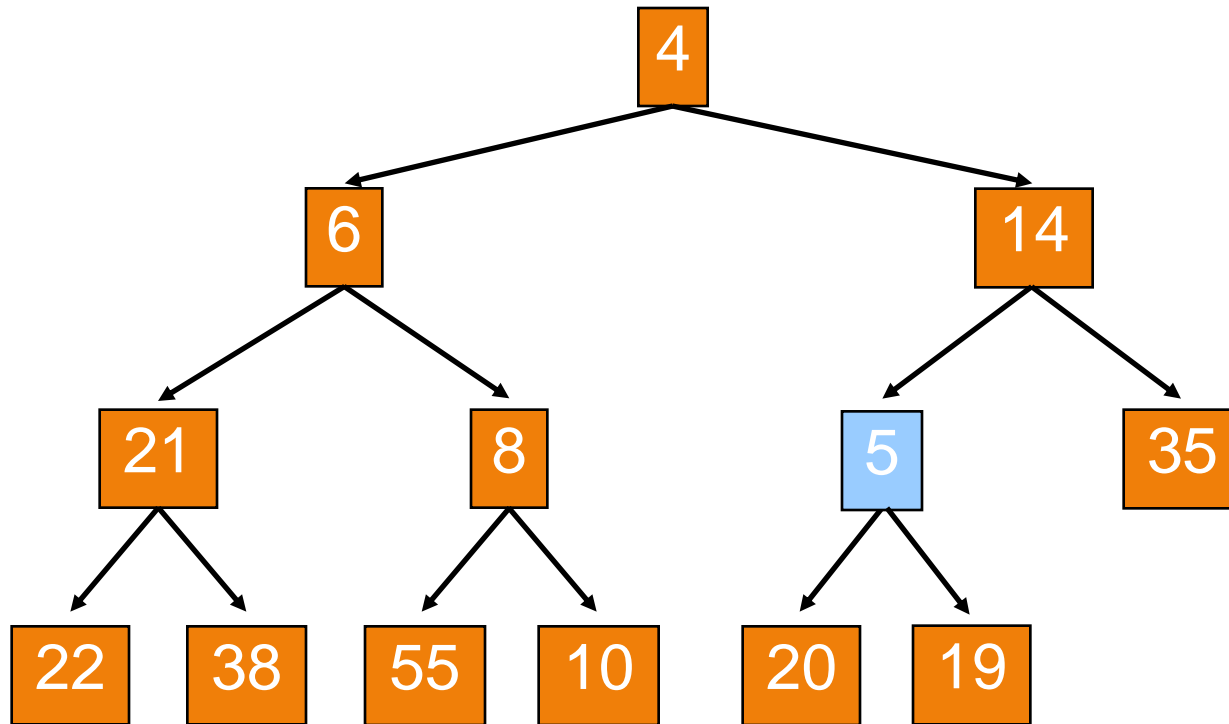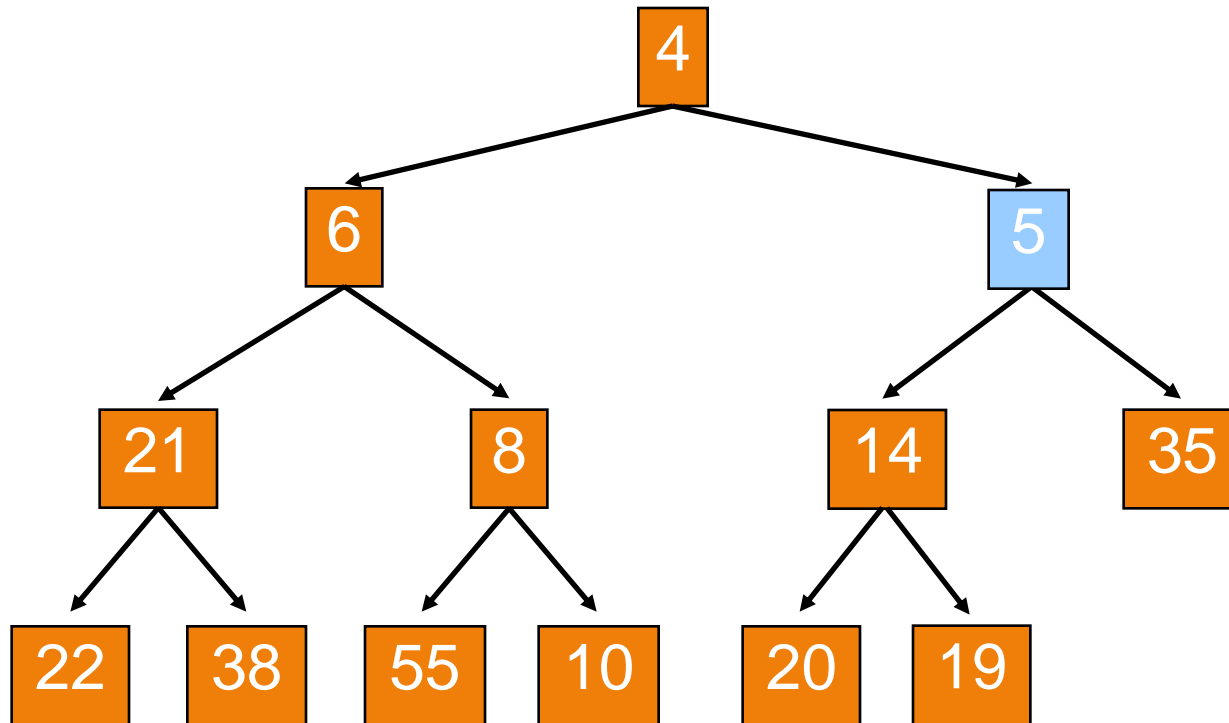
insert() Example

insert() Example
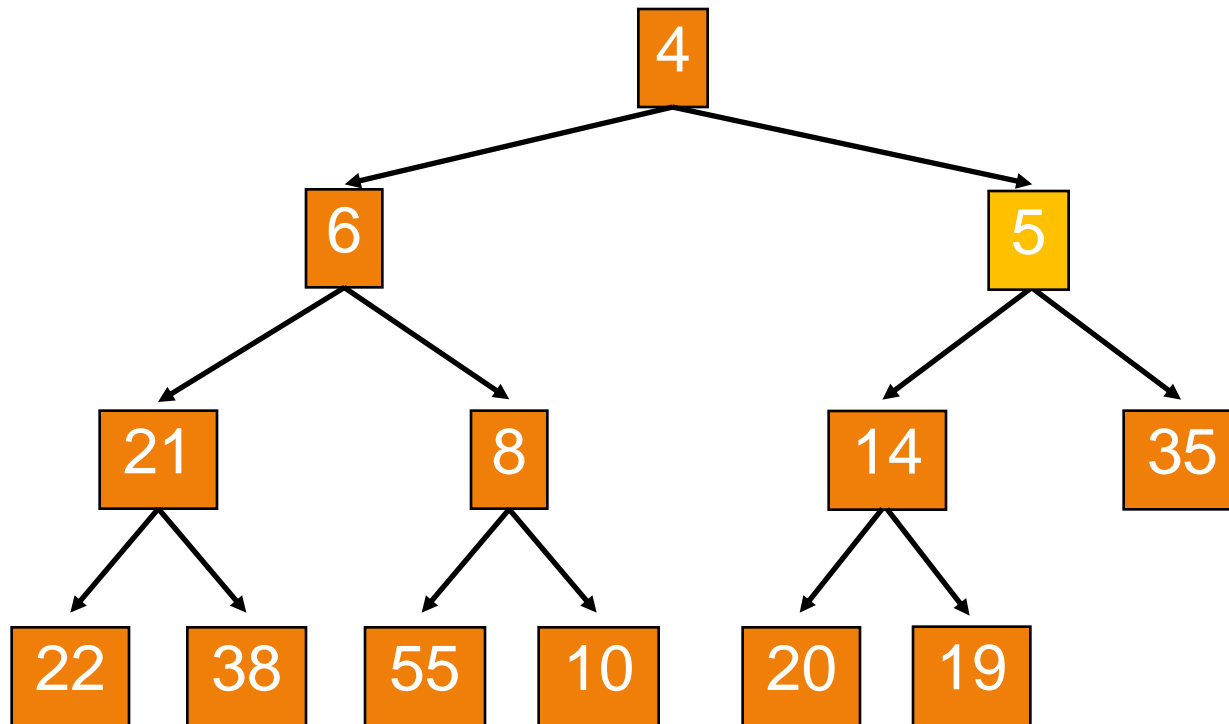
insert() Example
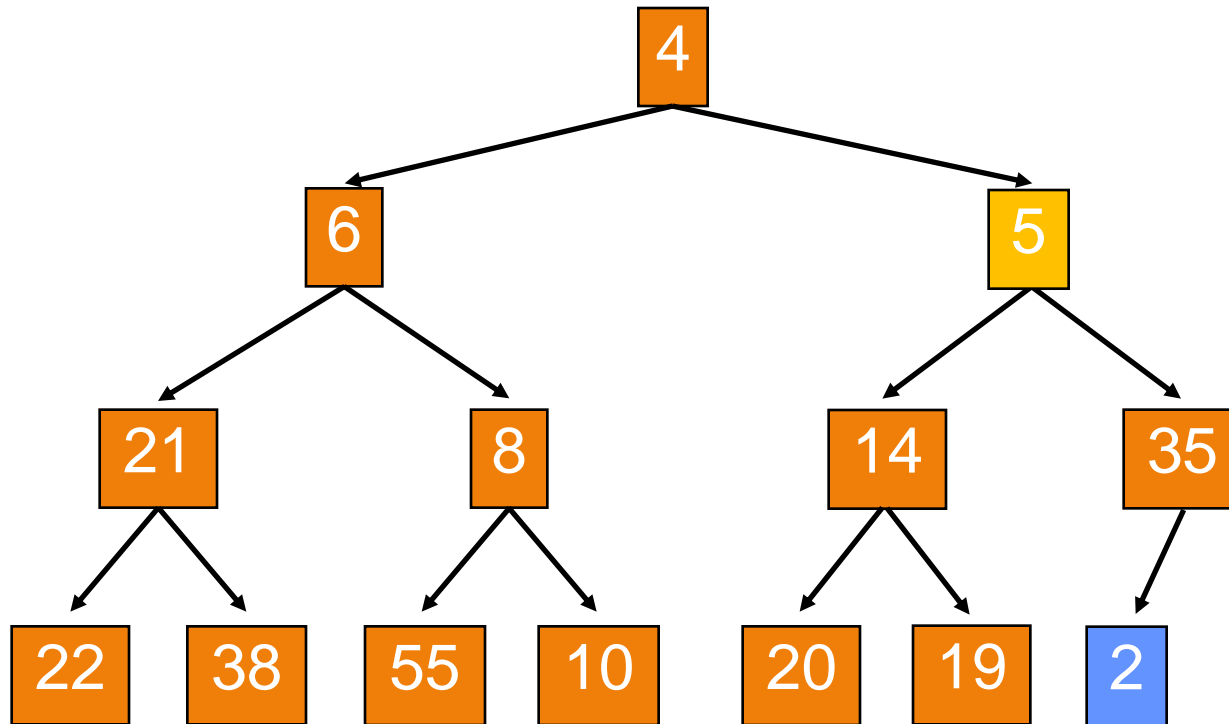
insert() Example
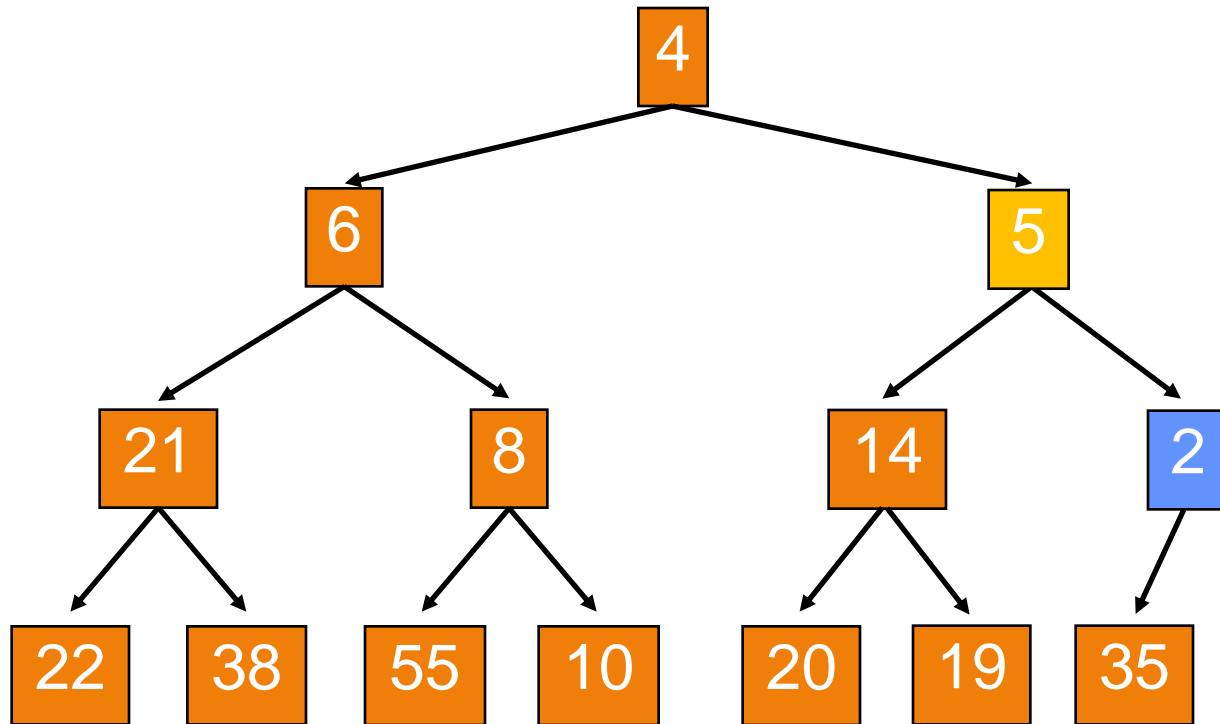
insert() Example
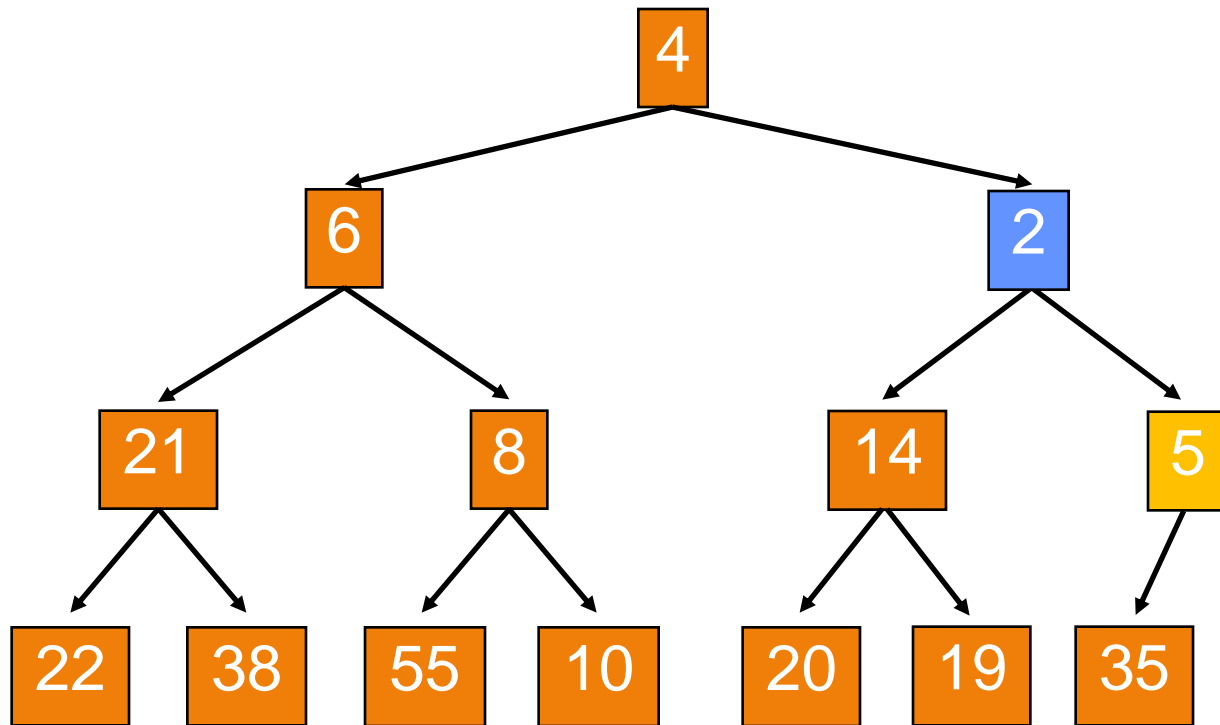
insert() Example
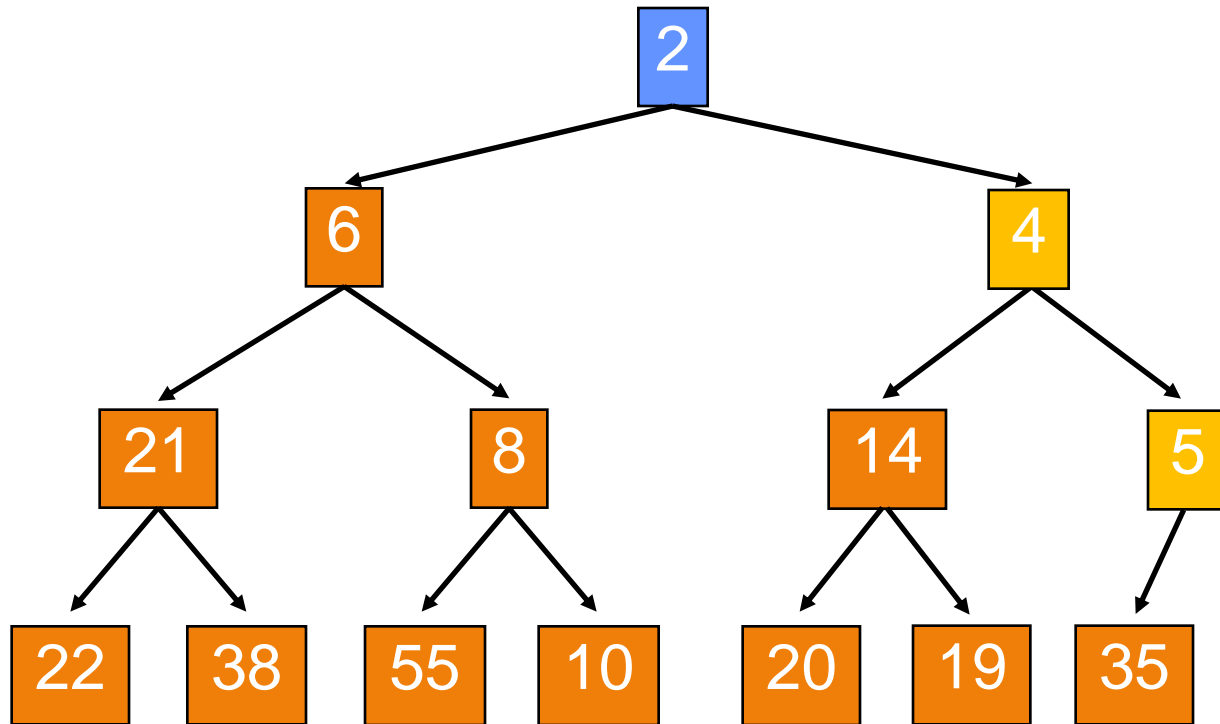
insert() Example

insert() Example
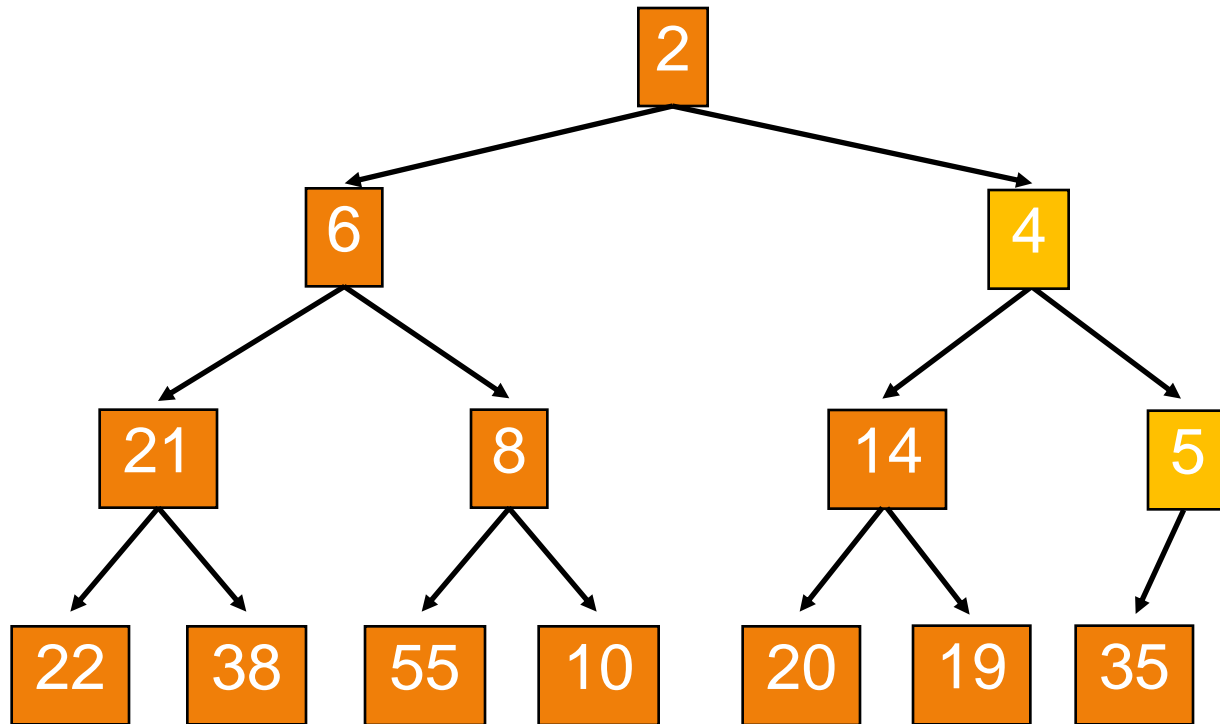
Analysis of insert()

- Time is O(log n), since the tree is balanced
  - At most log(d) swaps up the tree before invariant is restored
  - size of tree is exponential as a function of depth d $\Leftrightarrow$ depth of tree is logarithmic as a function of size n
  - Each insertion is finished after at most d <= log(n) swaps

extract()

- Remove the least element – it is at the root
- This leaves a hole at the root – fill it in with the last element of the array
- If this violates heap order because the root element is too big, swap it down with the smaller of its children
- Continue swapping it down until it finds its rightful place
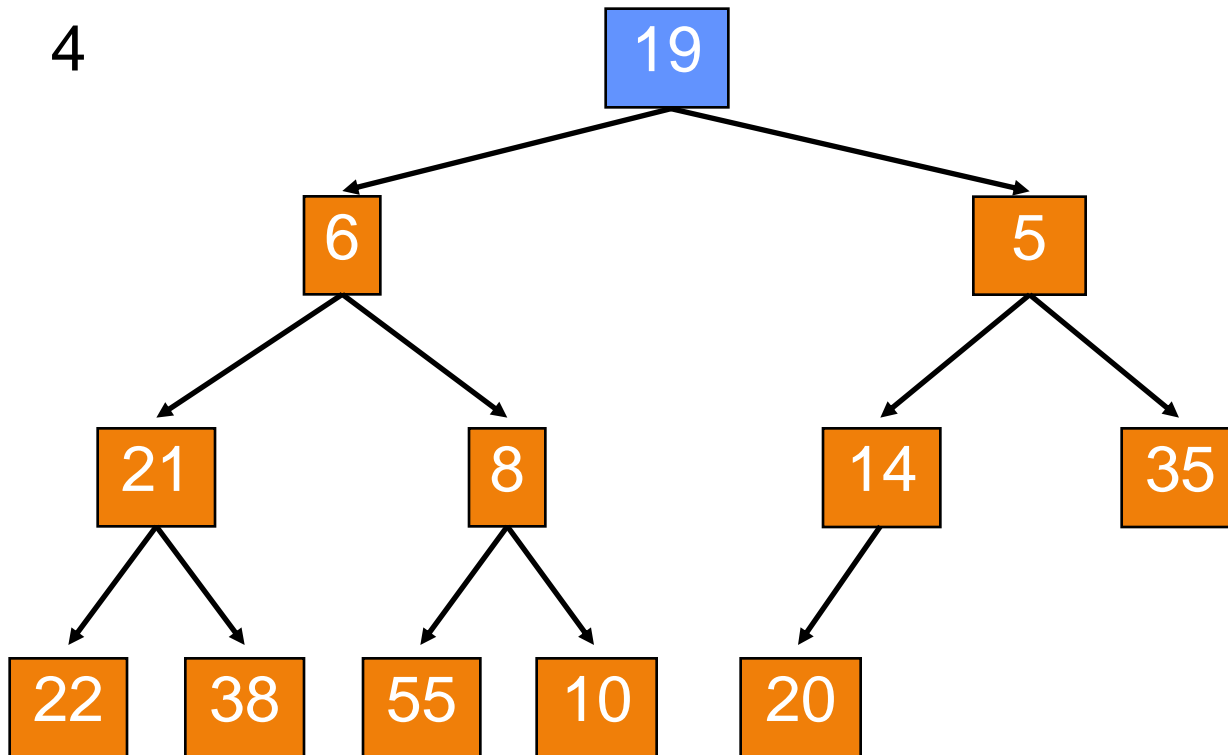- → The heap invariant is maintained!
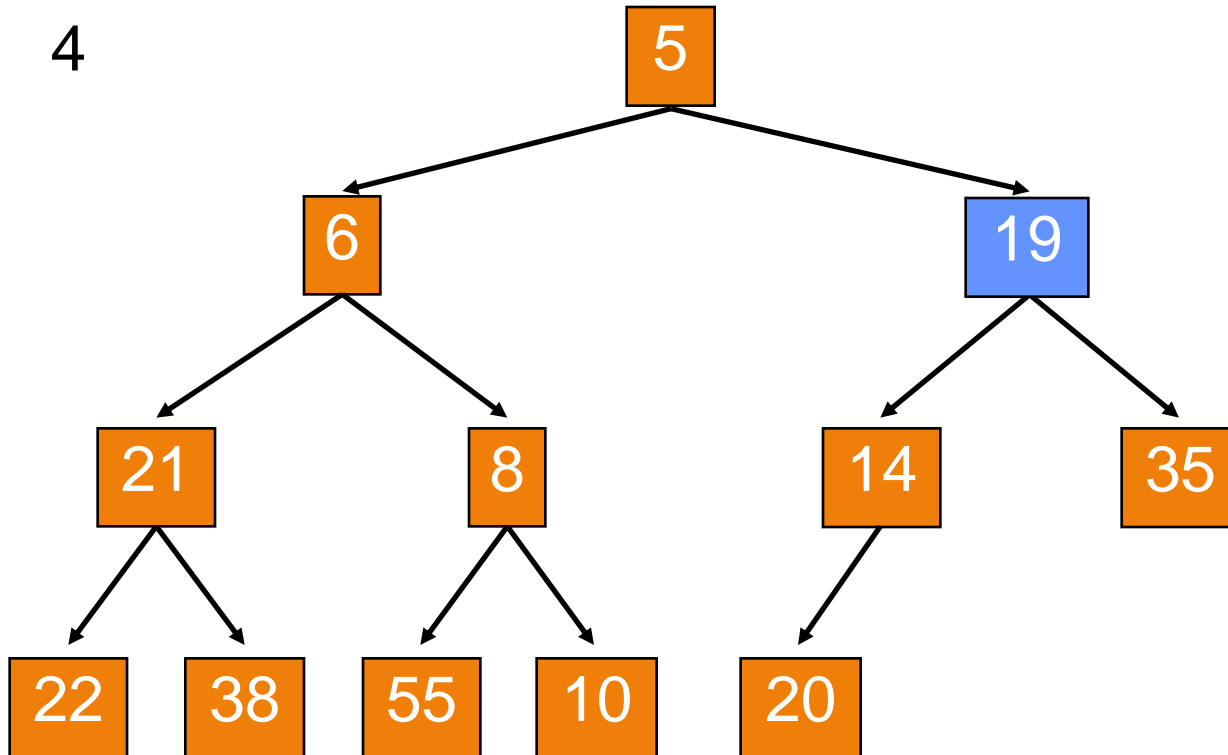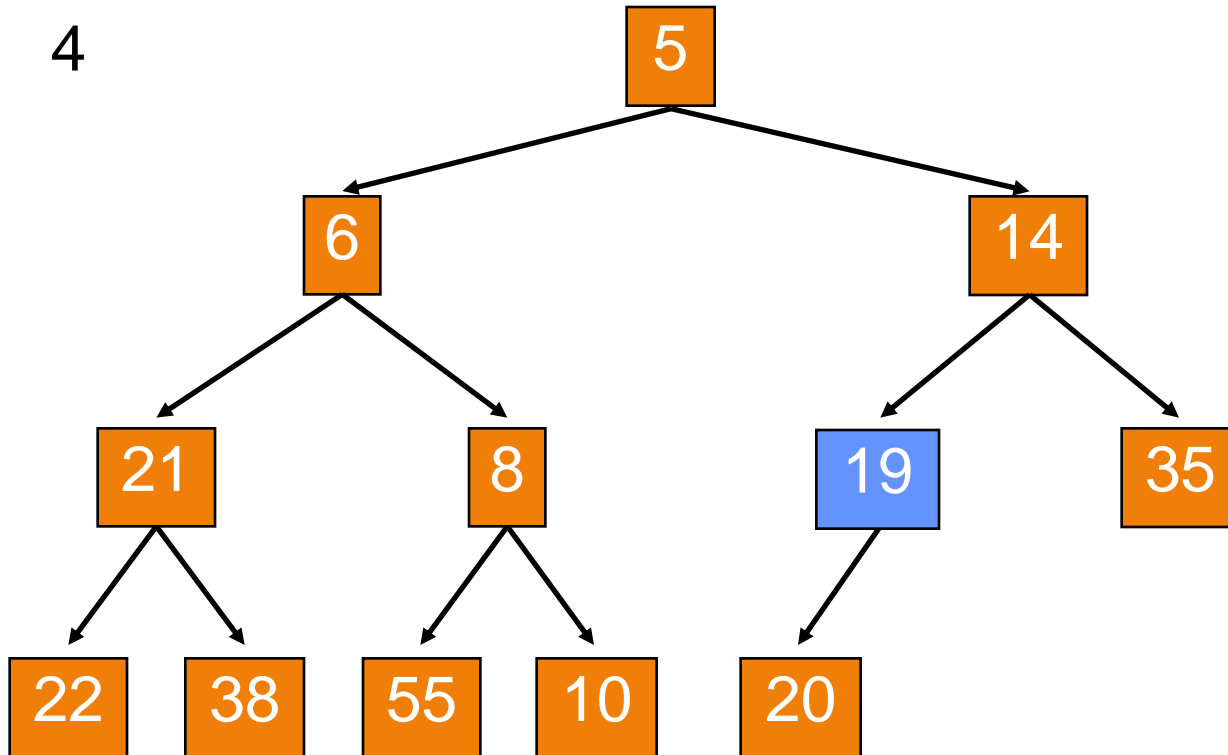
extract() Example
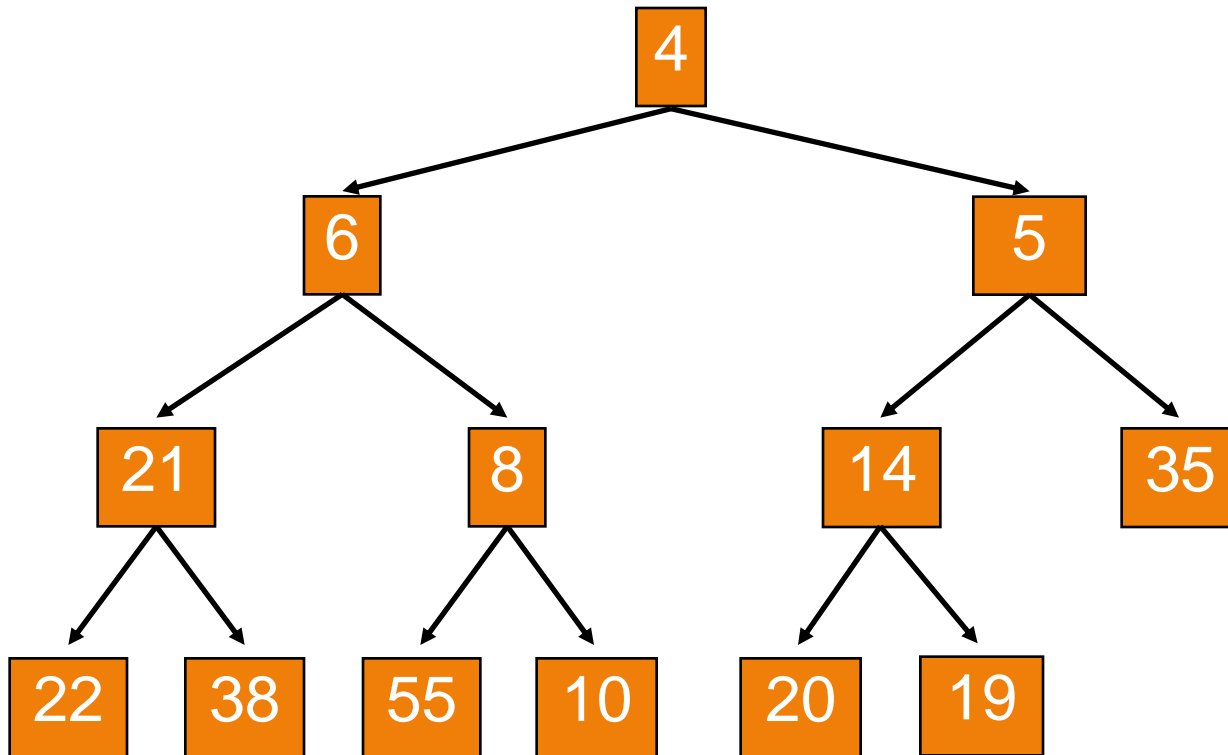
extract() Example
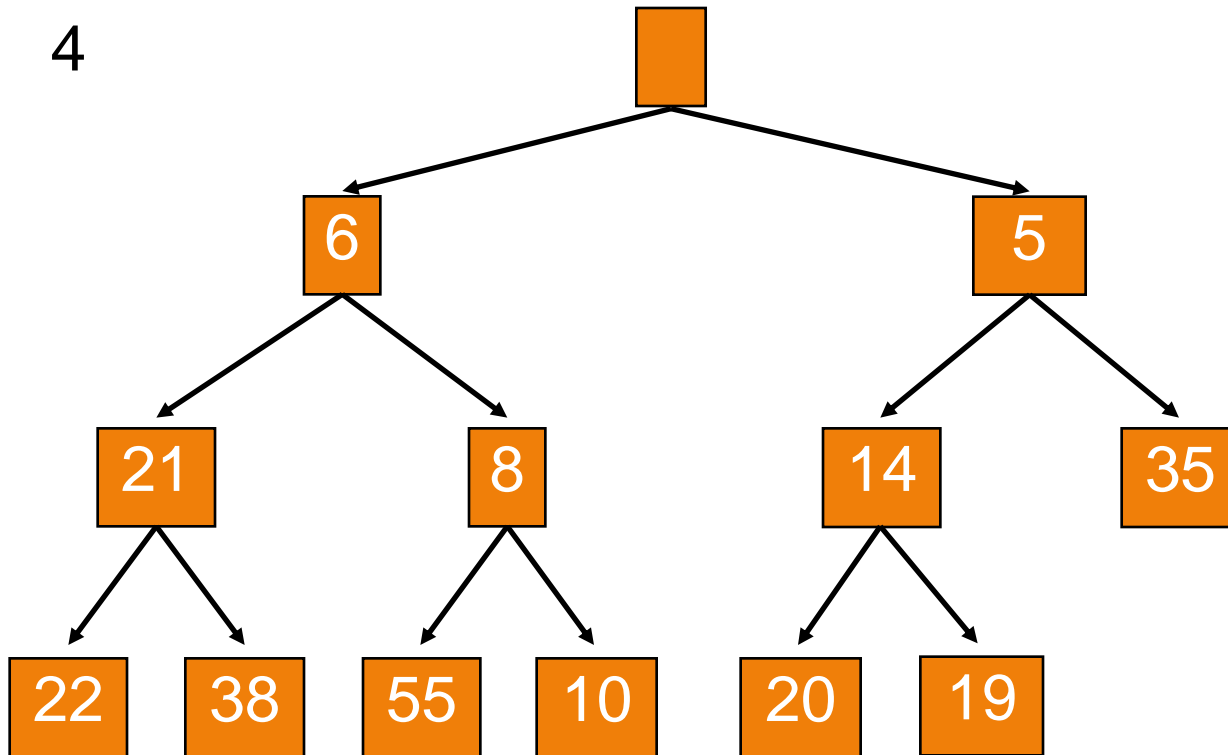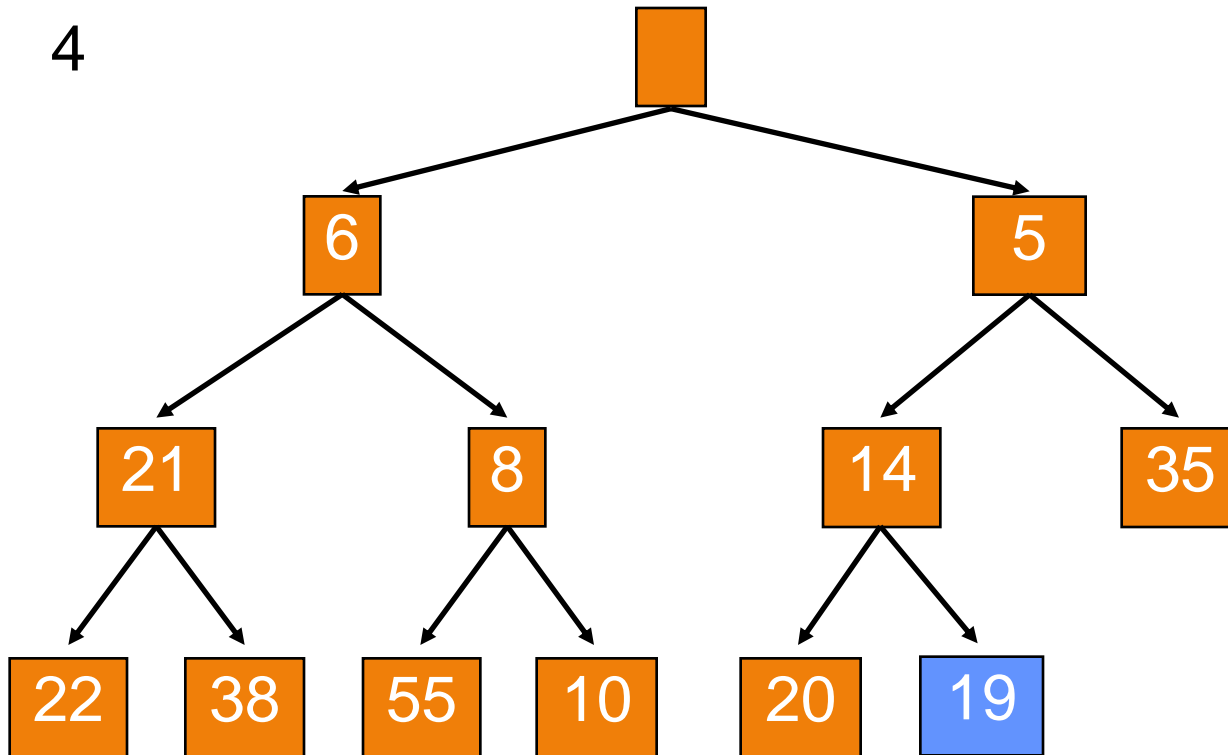
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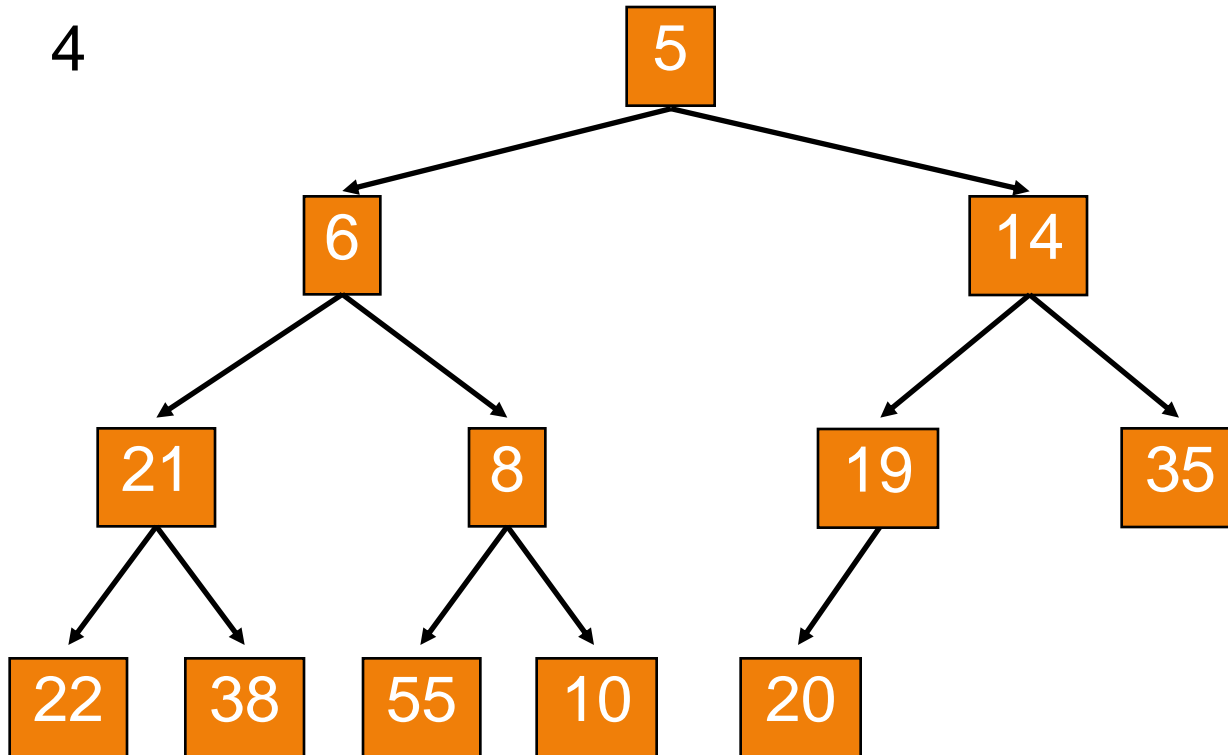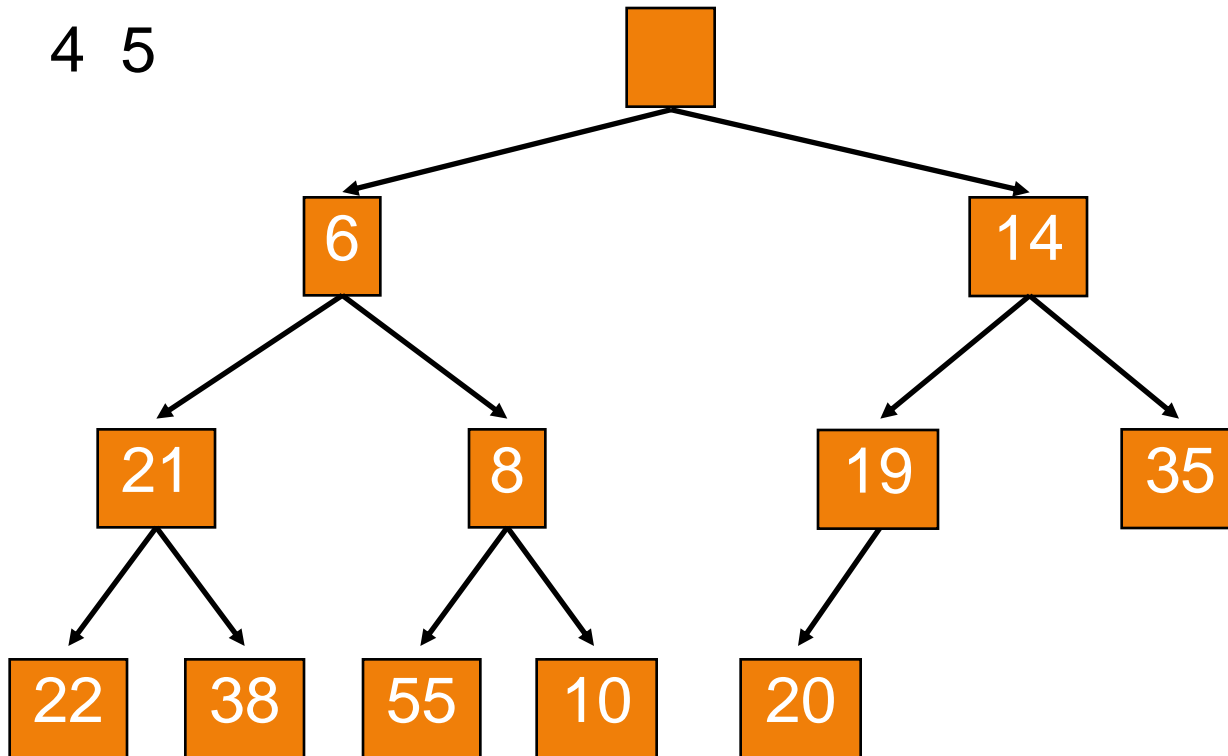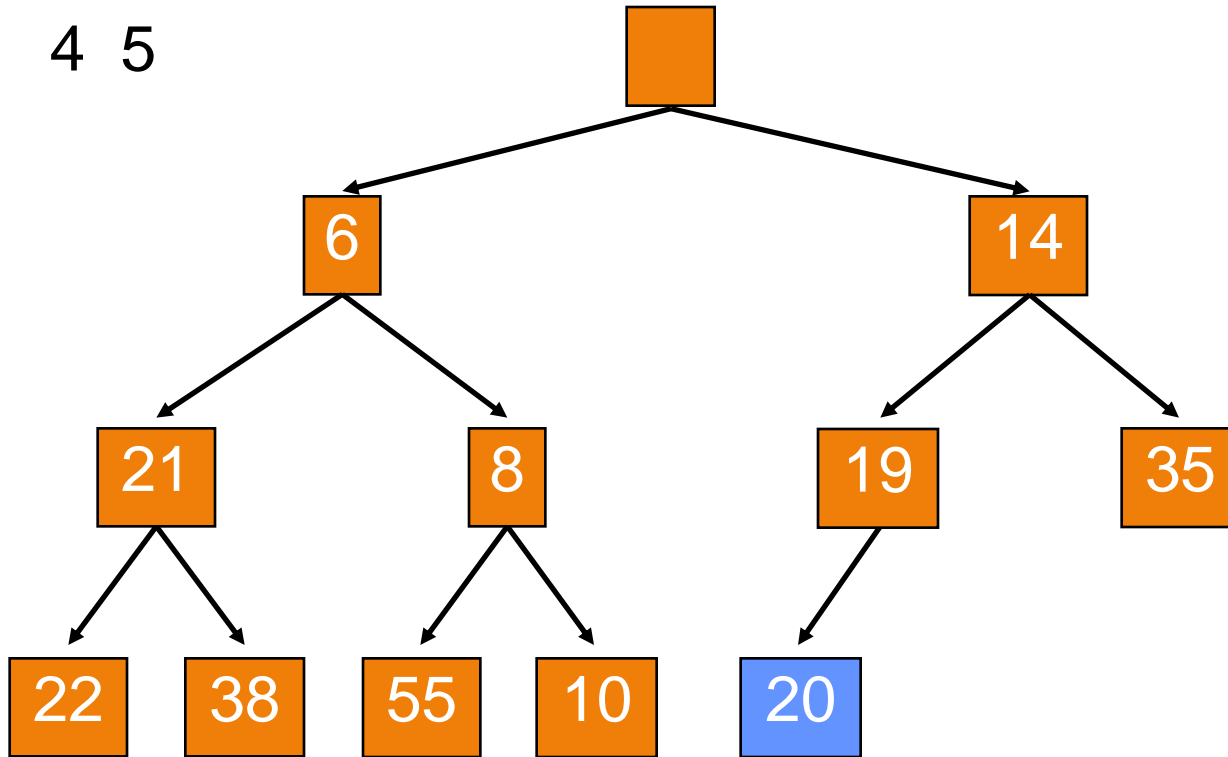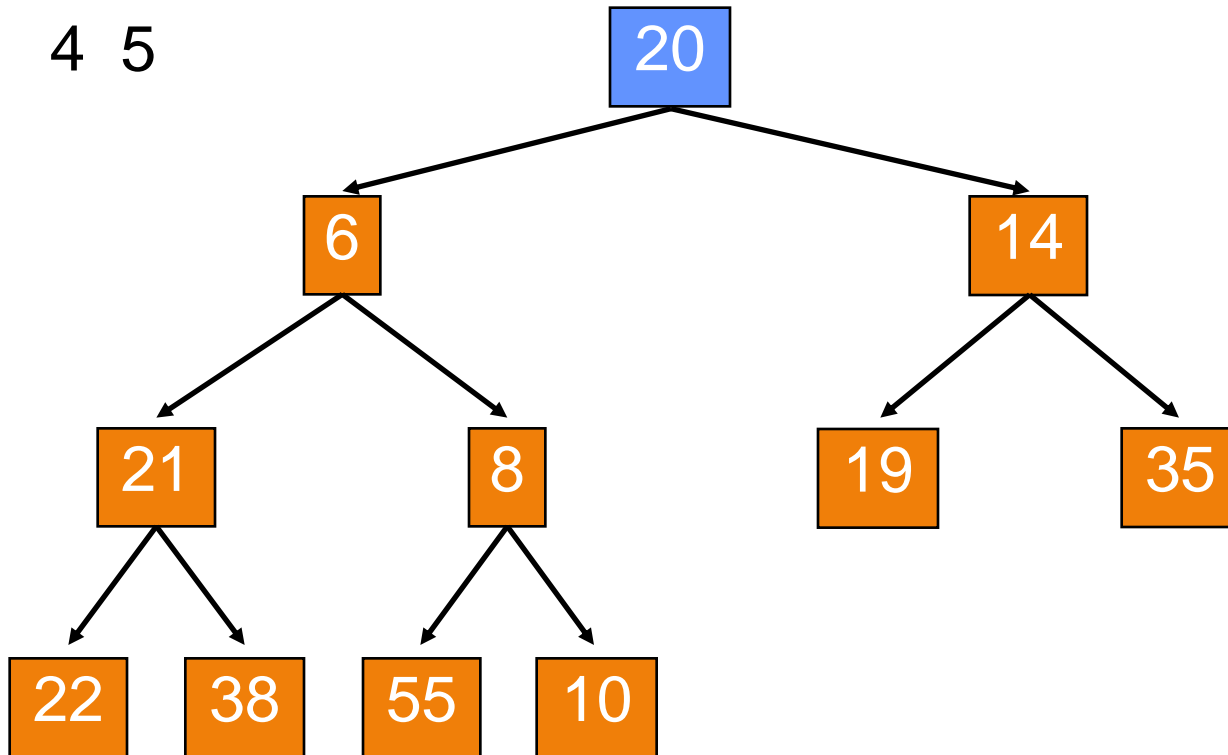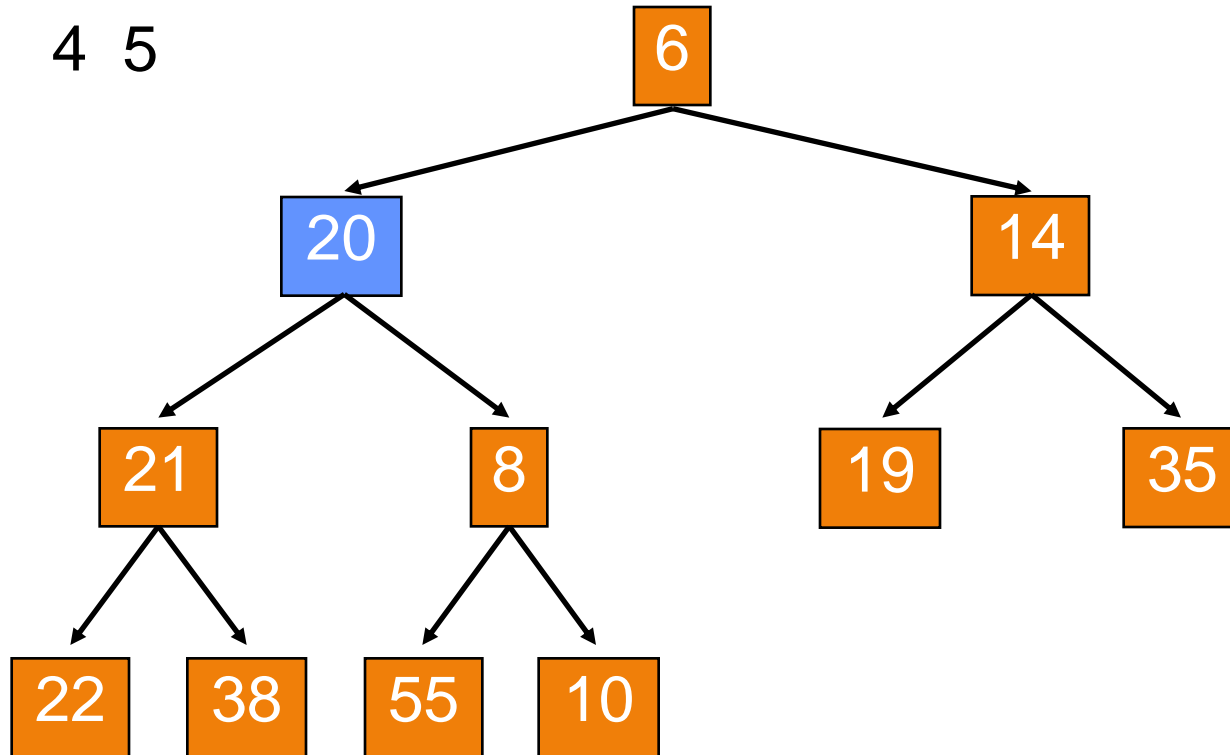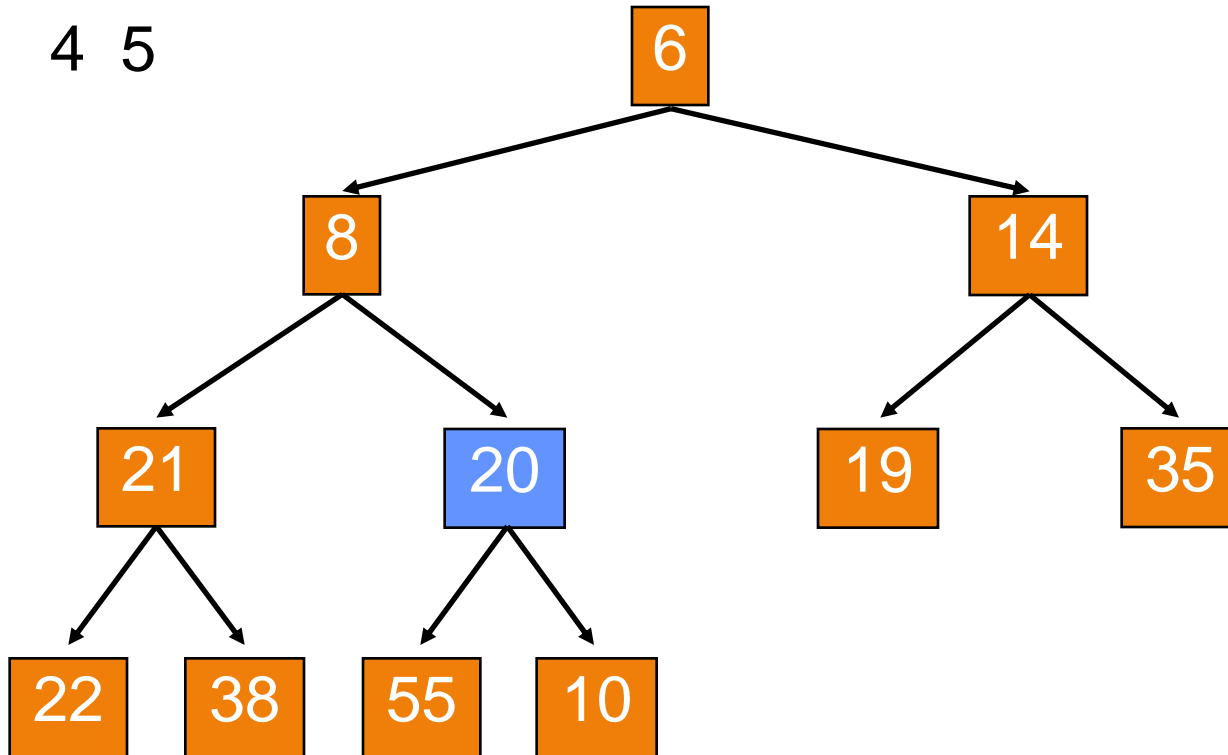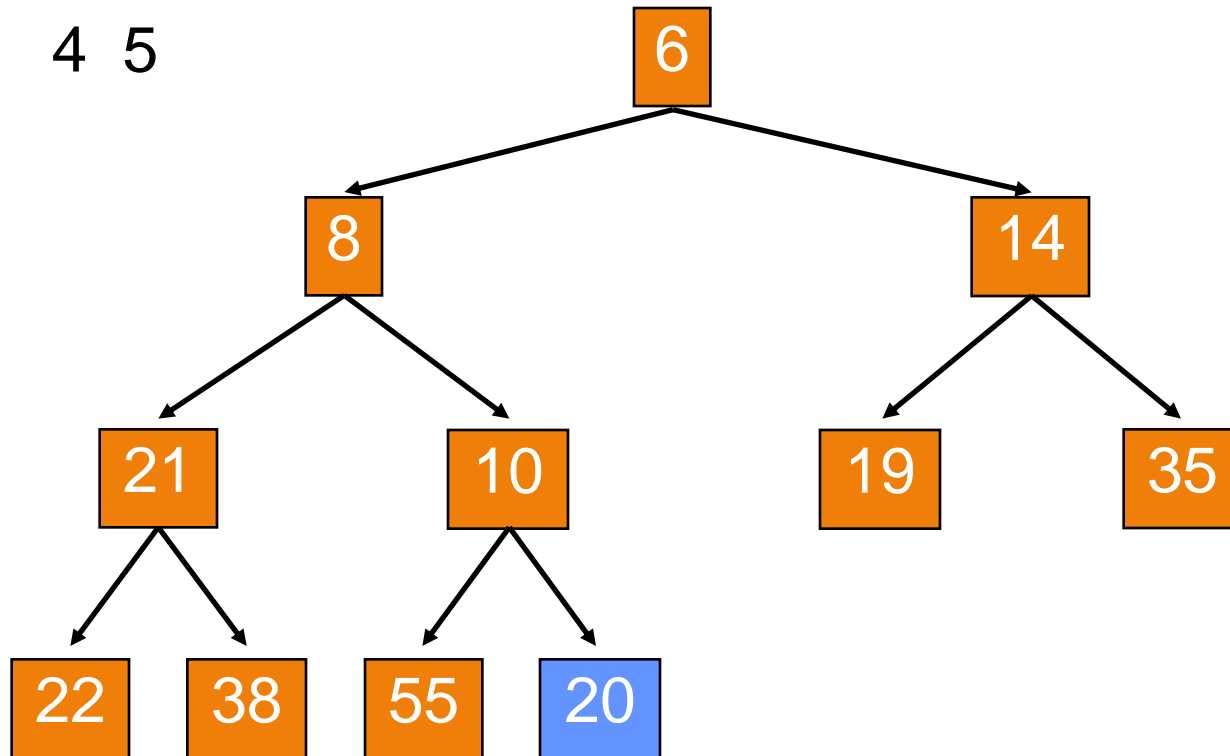# extract() Example

4

extract() Example

extract() Example

extract() Example

extract() Example

extract() Example

4 5

extract() Example

4 5

extract() Example
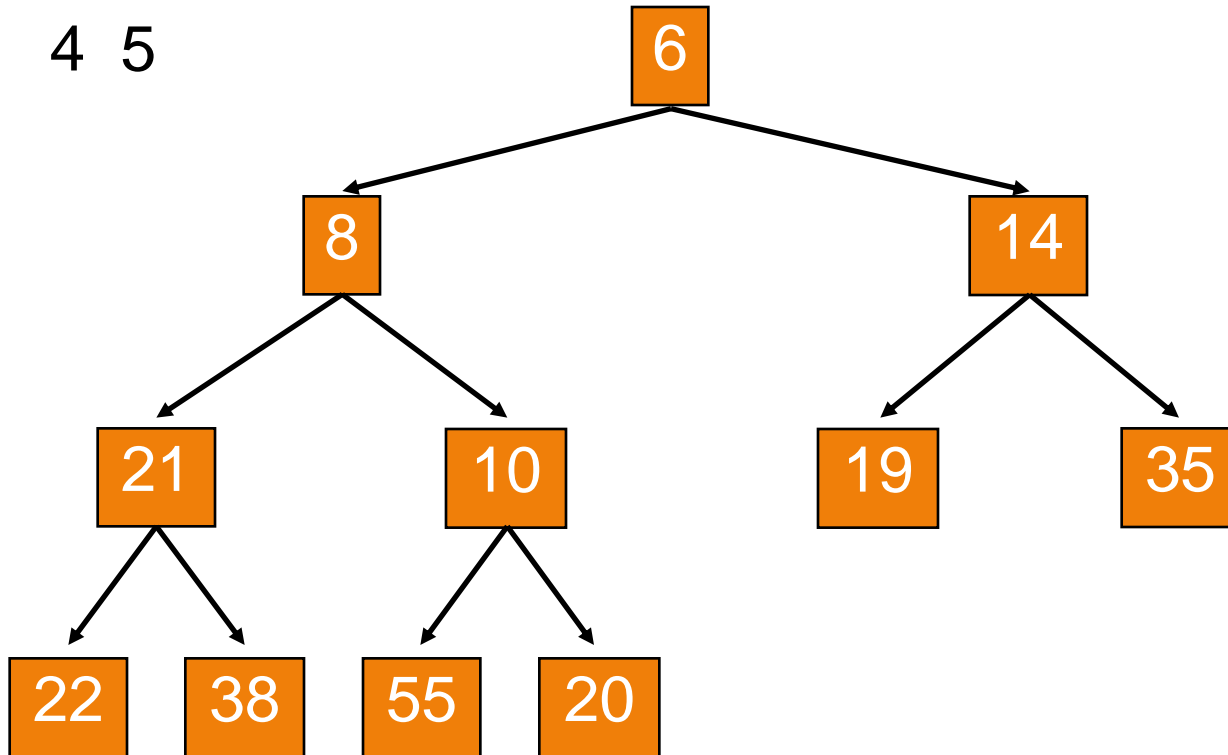
extract() Example

4 5

extract() Example

extract() Example

4 5

extract() Example

Analysis of extract()

- Time is O(log n), since the tree is balanced
  - At most log(d) swaps down towards the leaves of the tree before invariant is restored
  - size of tree is exponential as a function of depth d $\Leftrightarrow$ depth of tree is logarithmic as a function of size n
  - Each extraction is finished after at most d <= log(n) swaps

HeapSort

- Given a Comparable[] array of length n
- Put all n elements into a heap – O(n log n)
- Repeatedly get the min and sequentially put into new array – O(n log n)