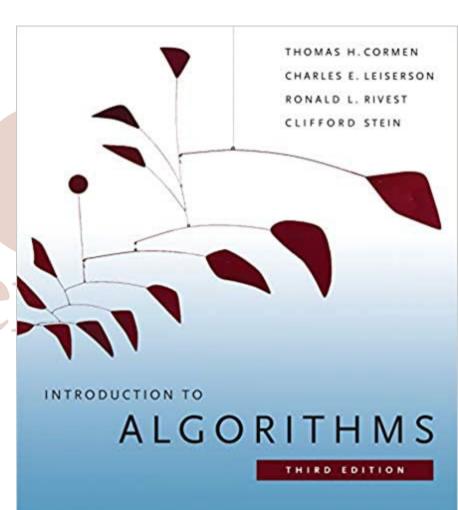
## CS 07540 Advanced Design and Analysis of Algorithms

#### Week 11

- ADT Priority Queue
  - Data Structure Fibonacci Heap

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#### Fibonacci Heaps and Their Uses in Improved Network Optimization Algorithms

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Abstract. In this paper we develop a new data structure for implementing heaps (priority queues). Our structure, Fibonacci heaps (abbreviated F-heaps), extends the binomial queues proposed by Vuillemin and studied further by Brown. F-heaps support arbitrary deletion from an n-item heap in  $O(\log n)$  amortized time and all other standard heap operations in O(1) amortized time. Using F-heaps we are able to obtain improved running times for several network optimization algorithms. In particular, we obtain the following worst-case bounds, where n is the number of vertices and m the number of edges in the problem graph:

- (1)  $O(n \log n + m)$  for the single-source shortest path problem with nonnegative edge lengths, improved from  $O(m \log_{10/m+2} n)$ :
- (2)  $O(n^2 \log n + nm)$  for the all-pairs shortest path problem, improved from  $O(nm \log_{m/n+2} n)$ ;
- (3)  $O(n^2 \log n + nm)$  for the assignment problem (weighted bipartite matching), improved from  $O(nm \log_{(m/n+2)} n)$ ;
- (4)  $O(m\beta(m, n))$  for the minimum spanning tree problem, improved from  $O(m\log\log_{(m/n+2)}n)$ , where  $\beta(m, n) = \min \{i \mid \log^{(i)}n \le m/n\}$ . Note that  $\beta(m, n) \le \log^* n$  if  $m \ge n$ .

Of these results, the improved bound for minimum spanning trees is the most striking, although all the results give asymptotic improvements for graphs of appropriate densities.

Categories and Subject Descriptors: E.1 [Data]: Data Structures—trees; graphs; F.2.2 [Analysis of Algorithms and Problem Complexity]: Nonnumerical Algorithms and Problems—computations on discrete structures; sorting and searching; G.2.2 [Discrete Mathematics]: Graph Theory—graph algorithms; network problems; trees

General Terms: Algorithms, Theory

Additional Key Words and Phrases: Heap, matching, minimum spanning tree, priority queue, shortest path

# Fibonacci Heaps

**Fibonacci heaps** are an implementation of the ADT priority queue. They are a mergeable heap data structure consisting of a collection of trees with the min heap (or max heap) property. Fibonacci heaps are named so due to the size of subtrees of a node of degree d being at least  $F_{d+2}$  (the (d+2)<sup>th</sup> Fibonacci number).

As mergeable heaps they support the following operations:

- MAKE\_HEAP
- INSERT (H, x)
- MINIMUM (H)
- DELETE MIN (H)
- •Union(H1, H2)

In addition, Fibonacci heaps support

- DECREASE KEY (H, x, k)
- DELETE (H,x)

Fibonacci heaps have better asymptotic bounds than binary heaps for INSERT, UNION, and DECREASE\_KEY (constant amortized time), and have the same asymptotic running times for the other operations. The price is a more complex structure.

Operation	Linked List	Binary Heap	Binomial Heap	Fibonacci Heap †	Relaxed Heap
make-heap	1	1	1	1	1
is-empty	1	1	1	1	1
insert		log n	log n	1	1
delete-min	n	log n	log n	log n	log n
decrease-key	n	log <i>n</i>	log n	1	1
delete	n	log n	log-n	log n	log n
union	1	n	log n	1	1
find-min	n	1	log n	1	1

This heap data structure was created by Fredman and Tarjan in 1984 with the goal of minimizing the number of operations needed to compute Minimum Spanning Trees (getting everywhere in a tree) and Shortest Paths (getting there fast) in the trees implementing heaps. These algorithms help improve the running times of Insert, Decrease Key, and DELETE MIN. Asymptotically, they improved Dijkstra's SP algorithm from  $O(E \log(V))$  to  $O(E + V \log(V))$  where vertices are inserted and delete-min'ed and edges are used to decrease keys.

They achieved this goal with laziness: Do work only when we need to, and then simplify the data structure as much as possible so future work will be easy and fast. In contrast, binomial heaps consolidate trees after each Insert.

# Advantages of Fibonacci Heaps

Minimum spanning tree and shortest path algorithms rely on the **Decrease\_Key** operation which runs in  $\Theta(1)$  (amortized) in Fibonacci heaps. That is (asymptotically) a big improvement over Binomial Heaps which have  $O(\log(n))$  (worst-case).

If we expect to have few **Del\_Min** and **Delete** operations (but many **Decrease\_Key**) then almost all operations will be  $\Theta(1)$  (amortized).

Dijkstra's algorithm and Prim/Kruskal's algorithm are graph algorithm examples where **Decrease\_Key** is called for edges, which is a big improvement over Binary Heaps that have  $\Theta(\log n)$  worst-case runtime.

## Disadvantages of Fibonacci Heaps

Fibonacci heaps have a reputation for being slow in practical applications. Programming complexity is high compared to other structures we studied. The memory overhead per node is high compared to other priority queue implementations. There are also constant factors associated with amortized analysis. This leads to Fibonacci heaps to be primarily of theoretical interest. The **Search** in Fibonacci Heaps is slow, so a pointer and a key are usually used as input to speed up the search.

However, an analysis titled "A Back-to-Basics Empirical Study of Priority Queues" in the 2014 Proceedings of the Meeting on Algorithm Engineering and Experiments indicates that Fibonacci heaps are more efficient in practice than most of its later derivatives, such as quake heaps, violation heaps, strict Fibonacci heaps, rank pairing heaps, but less efficient than either pairing heaps or array-based heaps.

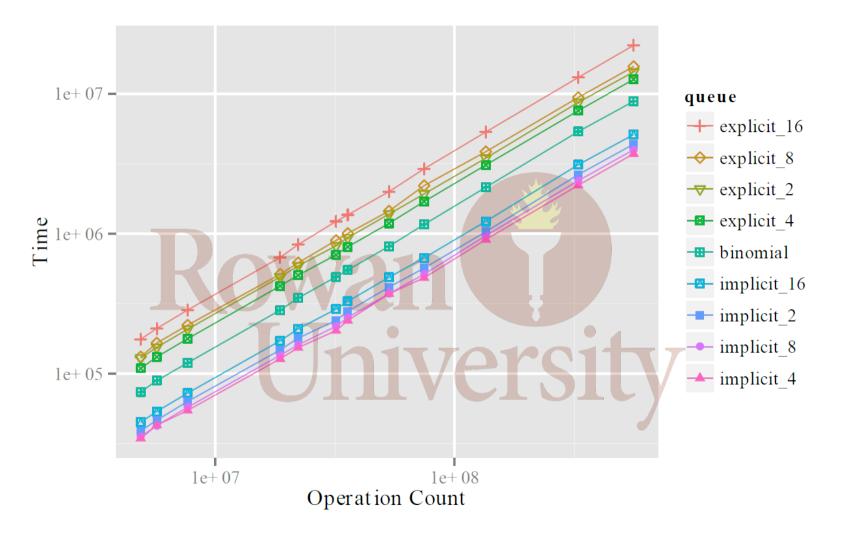


Figure 1: Dijkstra on the full USA road map. All operation counts are scaled by  $\log n$ .

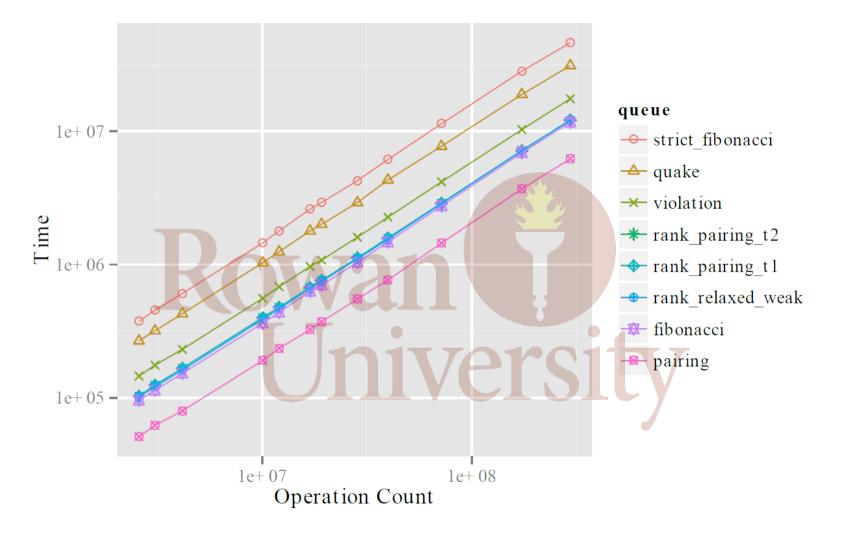


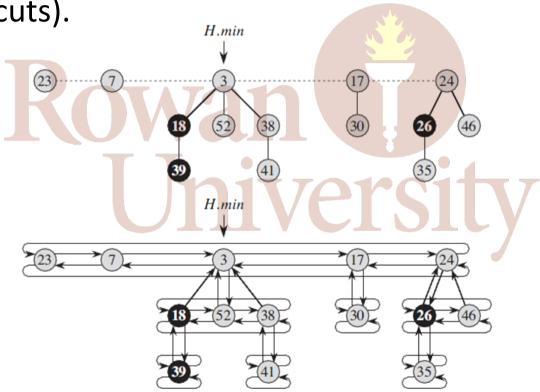
Figure 2: Dijkstra on the full USA road map. The DELETEMIN count is scaled by  $\log n$ .

# Structure of Fibonacci Heaps

A Fibonacci heap H is a collection of rooted trees that are min-heap ordered. The trees have the following properties:

- The roots of these trees are stored in a doubly-linked "root" list;
- The root of each tree contains the minimum element in that tree;
- The heap has a pointer to the tree root with the global minimum key;
- $\bullet$  For each node x, we store
  - oits degree
  - oits parent (pointer)
  - oits children (pointer to **one** child or **null** if leaf)
  - $\circ$  its mark (Boolean, indicates whether node has lost a child since the last time x was made a child of another node)
- children are stored in a circular doubly-linked list

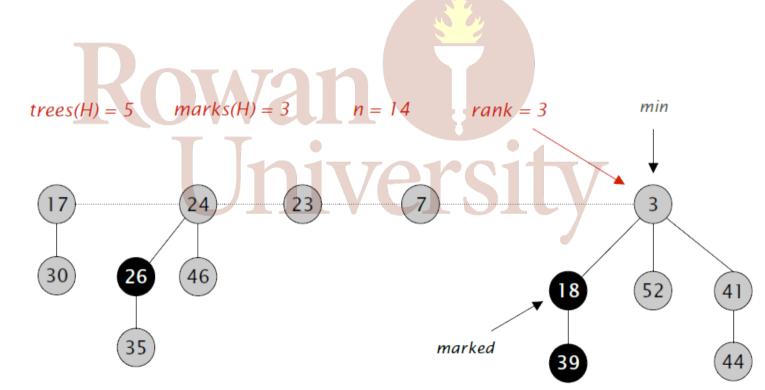
This example from our book represents a Fibonacci heap with five minheap-ordered trees and 14 nodes. The top level is the root list. Black nodes are "marked" (used in **Decrease\_Key** to keep track of where to make cascading cuts).



- n = number of nodes in heap.
- rank(x) = number of children of node x.
- rank(H) = max rank of any node in heap H.
- trees(H) = number of trees in heap H.

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• marks(H) = number of marked nodes in heap H.



# Implementation 🕮

```
class Node {
    Node parent;
    Node left;
    Node right;
    Node child:
    int degree;
    boolean mark;
    int key;
public class FibonacciHeap
    Node min;
    int n;
```

In this node structure, **left** and **right** point to the node itself if it is a leaf. The heap itself has a pointer to the minimum element, which is part of the circular root list. Trees may appear in any order in the list.

### Why a Doubly-Linked Circular List?

The doubly-linked circular list makes it an O(1) operation to insert an element. Elements are inserted at root list level and consolidated later.

```
private void insert(Node x) {
    if (this.min == null) {
        this.min = x;
        x.set left(this.min);
        x.set right(this.min);
    } else {
        x.set right(this.min);
        x.set_left(this.min.get_left());
        this.min.get left().set right(x);
        this.min.set left(x);
        if (x.get key() < this.min.get key())</pre>
             this.\overline{min} = x;
    this.n += 1;
public void insert(int key) {
    insert(new Node(key));
```

# Potential Function for Amortized Analysis

Let t(H) be the number of trees in a Fibonacci heap (the size of root list). Let m(H) be the number of marked nodes (which have to be visited to be consolidated).

$$\Phi(H) = t(H) + 2m(H)$$

The given example has potential  $5 + 2 \cdot 3 = 11$ .



### MAKE\_HEAP

We create a structure with null pointer for the minimum (tree node) and set the size of the heap to 0. The potential  $\Phi(H)$  is 0 for an empty heap. The cost is O(1).

```
FibonacciHeap() {
    min = null;
    n = 0;
}
```



#### Create a Node

We initialize a node with null parent, siblings, and children. Hence its degree will be 0 (number of connected nodes). This is also O(1).

```
public Node() {
    this.degree = 0;
    this.mark = false;
    this.parent = null;
    this.left = this;
    this.right = this;
    this.child = null;
    this.key = Integer.MAX VALUE;
Node(int x) {
    this();
    this.key = x;
```

#### Insert

Insert operations will create a new node x. If the heap is empty, we let H.min point to x. Otherwise, we insert the new node into the root list of the heap to the left (or right) of H.min. Then we update H.min to point to  $\min(H.\min, x.\text{key})$  and increase the degree of the heap. (Default operations are in class **Node**.)

```
FIB-HEAP-INSERT (H, x)
private void insert(Node x) {
    if (this.min == null) {
                                                         1 \cdot x.degree = 0
         this.min = x;
                                                            x.p = NIL
         x.set left(this.min);
         x.set right(this.min);
                                                           x.child = NIL
     } else {
                                                           x.mark = FALSE
         x.set right(this.min);
                                                           if H.min == NIL
         x.set left(this.min.get left());
                                                               create a root list for H containing just x
         this.min.get left().set right(x);
                                                               H.min = x
         this.min.set left(x);
         if (x.get key() < this.min.get key())</pre>
                                                            else insert x into H's root list
              this.\overline{m}in = x;
                                                               if x.key < H.min.key
                                                                   H.min = x
                                                        10
    this.n += 1;
                                                           H.n = H.n + 1
```

The immediate (actual) cost is O(1) while the amortized cost is actual plus change in potential.

$$\Delta\Phi(H) = [(t(H) + 1) + 2m(H)] - [t(H) + 2m(H)] = 1$$
Still  $O(1)$ .

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Fibonacci heaps behave like a doubly linked list until they are forced to consolidate (organize into a tree structure).

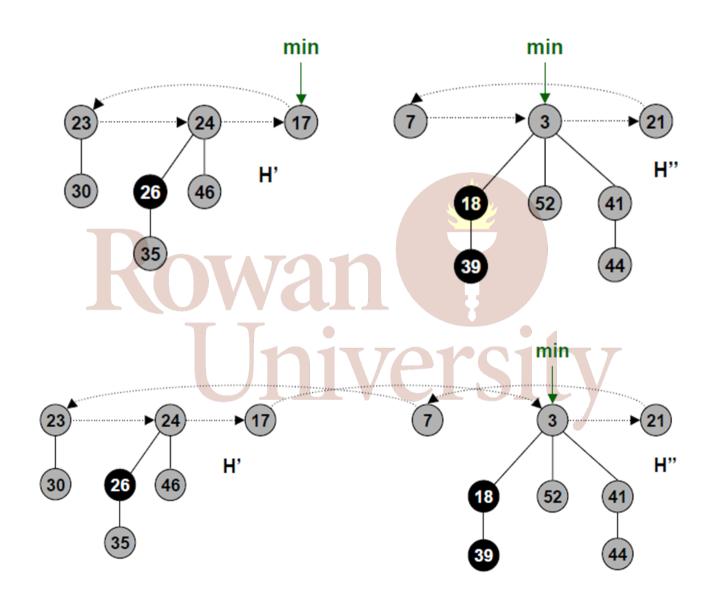
```
FibonacciHeap H = FibonacciHeap.create heap();
H.insert(17);
H.display();
H.insert(26);
H.display();
H.insert(30);
H.display();
H.insert(39);
H.display();
H.insert(10);
H.display();
H.consolidate();
H.display();
(17()->)
(17()->26()->)
(17()->26()->30()->)
(17()->26()->30()->39()->)
(10()->17()->26()->30()->39()->)
(10(26(30()->)->17()->)->39()->)
```

### Union

In order to combine two Fibonacci heaps  $H_1$  and  $H_2$  into a single heap, we concatenate their root lists and update the H.min and H.n of the resulting heap H. The heaps  $H_1$  and  $H_2$  are consumed in the process to avoid copying (they are technically still there, but access leads to undefined behavior). The actual cost is O(1). The amortized cost is also O(1) since

$$\Delta\Phi(H) = \Phi(H) - \left(\Phi(H_1) + \Phi(H_2)\right) = 0$$

The number of trees in the root list of H is equal to the sum of trees in the root lists of  $H_1$  and  $H_2$ , and the number of marked nodes in H is equal to the sum of marked nodes in  $H_1$  and  $H_2$ .



```
public static void merge heap(FibonacciHeap H1, FibonacciHeap H2, FibonacciHeap H3)
    H3.min = H1.min;
    if (H1.min != null && H2.min != null) {
        Node t1 = H1.min.get left();
        Node t2 = H2.min.get left();
        H1.min.set left(t2);
        t1.set right(H2.min);
        H2.min.set left(t1);
        t2.set right(H1.min);
    if (H1.min == null || (H2.min != null && H2.min.get key() < H1.min.get key()))</pre>
        H3.min = H2.min;
    H3.n = H1.n + H2.n;
```

### **Example**

We create two Fibonacci heaps, consolidate them, merge them, and extract the three smallest values.

```
(17()->)
(17()->26()->)
(17()->26()->30()->)
(17()->26()->30()->39()->)
(10()->17()->26()->30()->39()->)
(10(26(30()->)->17()->)->39()->)
(1()->)
(1()->2()->)
(1() -> 2() -> 30() ->)
(1() -> 2() -> 30() -> 19() ->)
(1() -> 2() -> 30() -> 19() -> 17() -> )
(1(19(30()->)->2()->)->17()->)
(1(19(30()->)->2()->)->17()->10(26(30()->)->17()->)->39()->)
10
```

### **DELETE\_MIN**

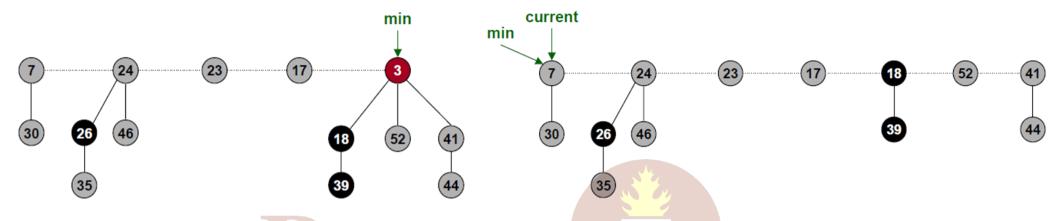
**DELETE\_MIN** retrieves and removes the smallest element in heap H. That is followed up by a tree consolidation. The idea is to

- delete the root element
- concatenate each of the root's children into the root list of H
- consolidate in the root list all the trees of the same degree
  - o consolidating the root list consists of repeatedly consolidating until every root in the root list has a distinct degree value
- update *H*.min and *H*.n of the new heap

The resulting Fibonacci heap will have no trees in the root list with the same degree, similar to Binomial Heaps.

### FIB-HEAP-EXTRACT-MIN(H)

- z = H.min
- if  $z \neq NIL$
- for each child x of z
- add x to the root list of H
- x.p = NIL
- remove z from the root list of H 6
- if z == z.right
- H.min = NIL
- else H.min = z.right9 Consolidate (H)10
- H.n = H.n 1
- 12 return z



After removal of the node with key 3, its children are elevated to roots in the root list. The new min pointer is 7 (which needs to be established as true min – in any case we consolidate the trees to reestablish the min heap property).

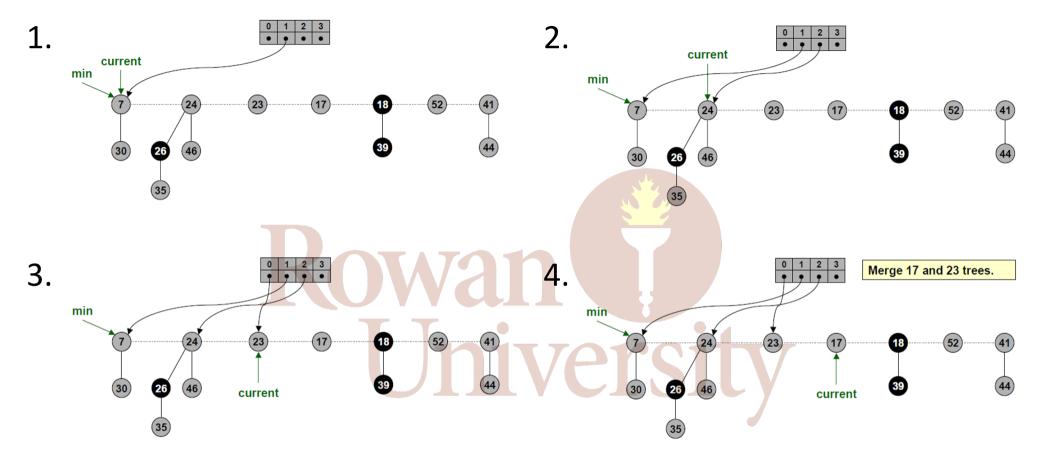
```
public int extract min() {
    Node z = this.min;
    if (z != null) {
        Node c = z.get child();
        Node k = c, p;
        if (c != null) {
            do {
                p = c.get right();
                insert(c);
                c.set parent(null);
                c = p;
            } while (c != null && c != k);
        z.get left().set right(z.get right());
        z.get right().set left(z.get left());
        z.set child(null);
        if (z == z.get right())
            this.min = null:
        else {
            this.min = z.get right();
            this.consolidate();
        this.n -= 1;
        return z.get key();
    return Integer.MAX VALUE;
```

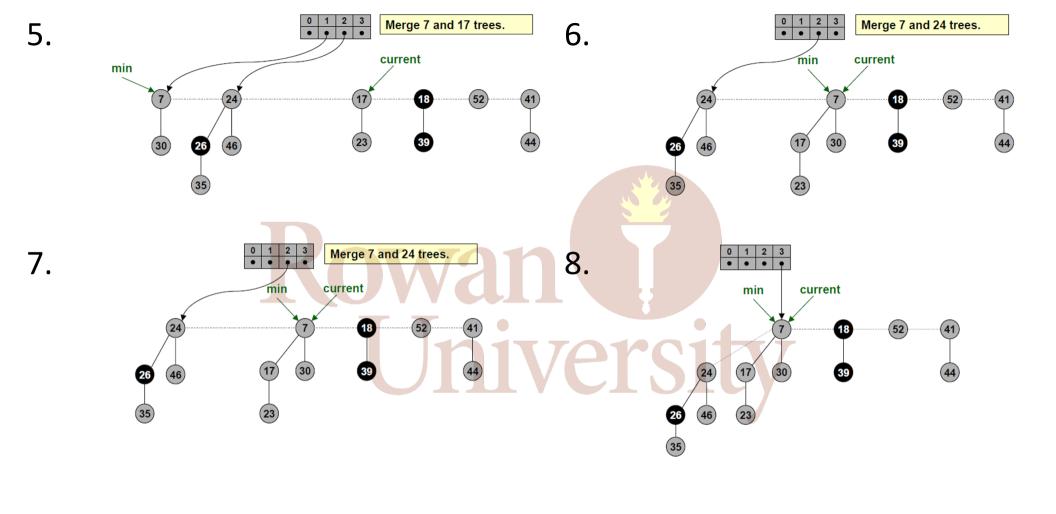
#### **Consolidate**

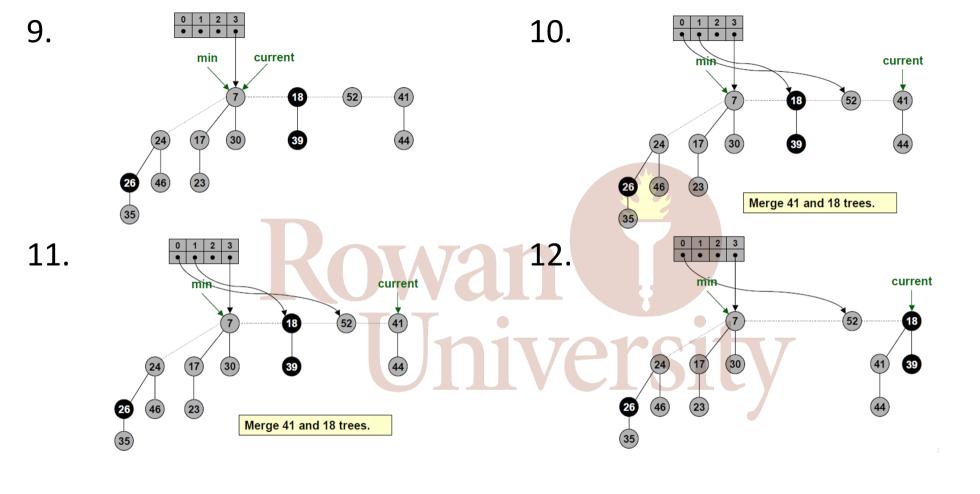
Consolidation combines all trees of the same degree in the root list.

- Find two roots x and y in the root list with the same degree. Without loss of generality, let x.key  $\leq y$ .key
- Link y to x by removing y from the root list and making it a child of x. Increment x.degree, and clear the mark on y.
- Repeat until there are no two trees with the same degree.

There will be a supporting data structure: An array of pointers to the trees in the root list, where an array item in position j points to the tree of degree j. We need to know the upper bound on the maximum degree of the tree in Fibonacci heap H (denoted D(H.n)).







```
Consolidate(H)
                                                                                 FIB-HEAP-LINK (H, y, x)
                                                                                     remove y from the root list of H
    let A[0...D(H.n)] be a new array
                                                                                     make y a child of x, incrementing x. degree
    for i = 0 to D(H.n)
                                                                                     y.mark = FALSE
         A[i] = NIL
 3
    for each node w in the root list of H
 5
         x = w
         d = x.degree
 6
         while A[d] \neq NIL
 8
             y = A[d]
                              // another node with the same degree as x
 9
             if x.key > y.key
10
                 exchange x with y
             FIB-HEAP-LINK (H, y, x)
11
             A[d] = NIL
             d = d + 1
13
        A[d] = x
14
    H.min = NIL
    for i = 0 to D(H.n)
         if A[i] \neq NIL
17
             if H.min == NIL
18
19
                 create a root list for H containing just A[i]
                 H.min = A[i]
20
             else insert A[i] into H's root list
21
                 if A[i]. key < H. min. key
                      H.min = A[i]
23
```

```
public void consolidate() {
    double phi = (1 + Math.sqrt(5)) / 2;
    int Dofn = (int) (Math.log(this.n) / Math.log(phi));
    Node[] A = new Node[Dofn + 1];
    for (int i = 0; i \le Dofn; ++i)
        A[i] = null;
    Node w = min;
    if (w != null) {
        Node check = min;
        do {
            Node x = w:
            int d = x.get degree();
            while (A[d] != null) {
                Node y = A[d];
                if (x.get key() > y.get key()
                    Node temp = x;
                    x = y;
                    y = temp;
                    w = x;
                fib heap link(y, x);
                check = x;
```

```
A[d] = null;
        d += 1;
    A[d] = x;
    w = w.get right();
} while (w != null && w != check);
this.min = null;
for (int i = 0; i <= Dofn; ++i) {</pre>
    if (A[i] != null) {
        insert(A[i]);
```

```
private void fib heap link(Node y, Node x) {
    y.get left().set right(y.get right());
    y.get right().set left(y.get left());
    Node p = x.get child();
    if (p == null) {
        y.set right(y);
        y.set left(y);
    } else {
        y.set right(p);
        y.set left(p.get left());
        p.get left().set right(y);
        p.set left(y);
    y.set parent(x);
    x.set child(y);
    x.set degree(x.get degree() + 1);
    y.set mark(false);
```

## Delete\_Min Cost Analysis

Let D(n) be the maximum degree of a node in the heap and t(H) the number of trees in the root list. The actual cost of adding children of min into the root list is O(D(n)) since the min node can have at most D(n)children. When we consolidate trees, we get a running time of O(D(n) + t(H)) since we need to "touch" all the trees in the root list (all t(H) of them) as well as D(n) nodes, which is the maximum number of added nodes (less one, which is the min node just removed).

# Amortized Cost Analysis

Before consolidation we have

$$\Phi(H_{i-1}) = t(n) + 2m(H)$$

After consolidation we have

$$\Phi(H_i) \le D(n) + 1 + 2m(H)$$

where D(n) + 1 is an upper bound on consolidating t(n) trees.

- No new marked nodes
- No two trees with the same degree
- At most D(n) + 1 root nodes remain after consolidation

$$\Delta\Phi(H) \leq D(n) + 1 - t(n)$$

The actual cost was O(D(n) + t(H)), so the amortized cost is bounded by

$$[D(n) + t(H)] + [D(n) + 1 - t(H)] = 2D(n) + 1 = O(D(n))$$

The degree is bounded by log(n) (Fibonacci heaps get their name from

Fibonacci numbers, and there is a formula for 
$$F_n = \frac{(1+\sqrt{5})^n - (1-\sqrt{5})^n}{\sqrt{5}}$$
).

COROLLARY 1. A node of rank k in an F-heap has at least  $F_{k+2} \ge \phi^k$  descendants, including itself, where  $F_k$  is the kth Fibonacci number ( $F_0 = 0$ ,  $F_1 = 1$ ,  $F_k = F_{k-2} + F_{k-1}$  for  $k \ge 2$ ), and  $\phi = (1 + \sqrt{5})/2$  is the golden ratio. (See Figure 7.)

PROOF. Let  $S_k$  be the minimum possible number of descendants of a node of rank k. Obviously,  $S_0 = 1$ , and  $S_1 = 2$ . Lemma 1 implies that  $S_k \ge \sum_{i=0}^{k-2} S_i + 2$  for  $k \ge 2$ . The Fibonacci numbers satisfy  $F_{k+2} = \sum_{i=2}^{k} F_i + 2$  for  $k \ge 2$ , from which  $S_k \ge F_{k+2}$  for  $k \ge 0$  follows by induction on k. The inequality  $F_{k+2} \ge \phi^k$  is well known [14].  $\square$ 

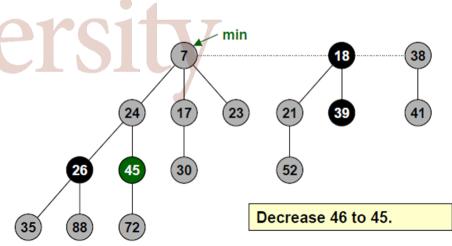
Remark. This corollary is the source of the name "Fibonacci heap."

## **DECREASE\_KEY**

The amortize running time for **Decrease\_Key** is O(1). A main design point of Fibonacci heaps was to achieve this improvement over other priority queue implementations.

#### Case 0

The new key does not violate the heap property. We just set x.key = k and are done.

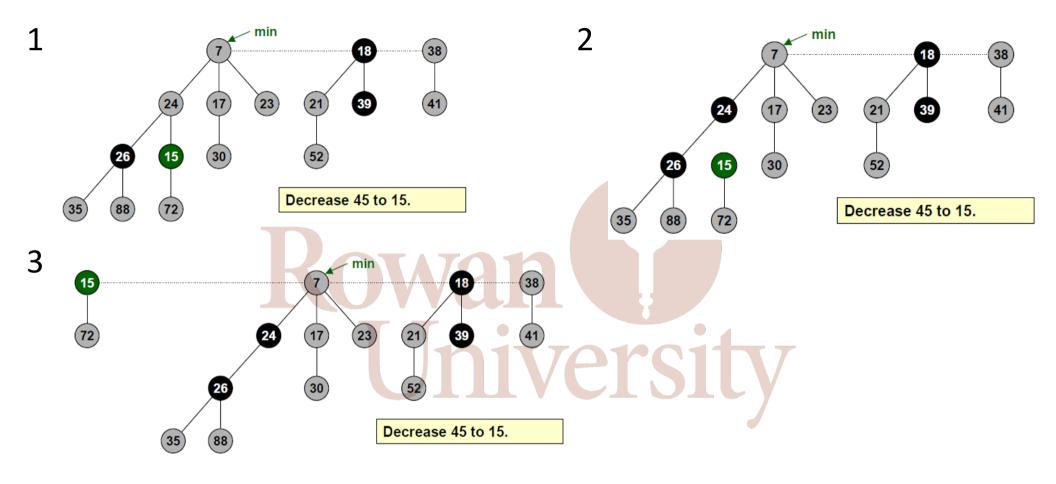


#### Case 1

The new key violates the heap property. We set x.key = k and update the heap to maintain the min heap property.

If parent node of *x* is not marked then

- Decrease key of x to k (x.key = k)
- Cut off the node x and place it into root list
- Unmark the node placed into the root list (x.marked = false)
- Decrease the degree of the parent by 1 (x.parent.degree = x.parent.degree 1)
- Mark the parent (x.parent.marked = true) indicating that the node has lost one of its children
- Update  $H.\min = \min(H.\min.\text{key}, x.\text{key})$



If the parent node of x is marked then

- Decrease key of x to k (x.key = k)
- Cut off the node x and place it into root list
- Unmark the node placed into the root list (x.marked = false)
- Decrease the degree of the parent by 1 (x.parent.degree = x.parent.degree 1)
- Repeat steps 1 − 4 for x.parent until
  - owe reached the root or
  - o reached unmarked parent (x.parent.marked == false), in which case mark the parent (x.parent.marked = true)

Step 5 is often referred to as Cascading Cuts. No node can lose more than one of its children before being placed into the root list.

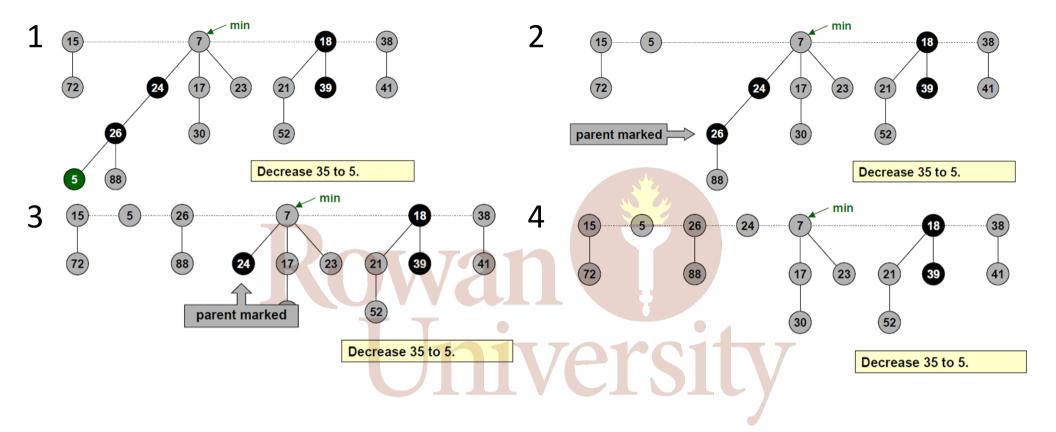
### FIB-HEAP-DECREASE-KEY (H, x, k)if k > x.key **error** "new key is greater than current key" x.key = kv = x.pif $y \neq NIL$ and x.key < y.keyCut(H, x, y)6 CASCADING-CUT(H, y)if x.key < H.min.keyH.min = x9

#### CUT(H, x, y)

- 1 remove x from the child list of y, decrementing y.degree
- 2 add x to the root list of H
  - x.p = NIL
- $4 \quad x.mark = FALSE$

# Cascading-Cut(H, y)

- z = y.p
- 2 if  $z \neq NIL$
- if y.mark == FALSE
- 11 y.mark == FALSI
- 4 y.mark = TRUE5 else CUT(H, y, z)
- 6 CASCADING-CUT(H, z)



```
// Search operation
private void find(int key, Node c) {
    if (found != null || c == null)
        return;
    else {
        Node temp = c;
        do {
            if (key == temp.get key())
                found = temp;
            else {
                Node k = temp.get child();
                find(key, k);
                temp = temp.get_right();
        } while (temp != c && found == null);
```

```
public Node find(int k) {
    found = null;
    find(k, this.min);
    return found;
public void decrease key(int key, int nval) {
    Node x = find(key);
    decrease key(x, nval);
private void decrease key (Node x, int k)
    if (k > x.get key())
        return;
    x.set key(k);
    Node y = x.get parent();
    if (y != null \&\& x.get key() < y.get key())
        cut(x, y);
        cascading cut(y);
    if (x.get key() < min.get key())</pre>
        min = x;
```

```
private void cut(Node x, Node y) {
    x.get right().set left(x.get left());
    x.get left().set right(x.get right());
    y.set degree(y.get degree() - 1);
    x.set right(null);
    x.set left(null);
    insert(x);
    x.set parent(null);
    x.set mark(false);
private void cascading cut(Node y)
    Node z = y.get parent();
    if (z != null) {
        if (y.get mark() == false)
            y.set mark(true);
        else {
            cut(y, z);
            cascading cut(z);
```

The actual cost of a cut is O(1) and there are a total of c cuts (one to cut x and c-1 cascading cuts). The amortized cost after **Decrease\_Key** is

- t(H) + c for total number of trees in the heap after cuts
- m(H) c + 2 for the total number of marked nodes
- ullet c-1 nodes that were unmarked by cascading cuts, plus last node marked

$$\Delta\Phi = [t(H) + c + 2(m(H) - c + 1)] - [t(H) + 2m(H)]$$
  
$$\Delta\Phi = 4 - c$$

Hence the amortized cost is O(c) + 4 - c = O(1).

#### **DELETE**

We decrease the key to  $-\infty$  and use **Delete\_Min**.

```
public void delete(Node x) {
    decrease key(x, Integer.MIN VALUE);
    int p = extract min();
```

# Summary of Fibonacci Heaps

- Fibonacci heaps implement ADT Priority Queue.
- Fibonacci trees are a collection of min-ordered heaps.
- Similar to binomial heaps, but less rigid structure.
- Asymptotically optimal, practically slower.
- DECREASE Key with amortized  $\Theta(1)$ .
- Siblings (roots and children) are doubly-linked.
- Designed to optimized **Decrease\_Key** operation for MST and SP problems.
  - Lazy operations.