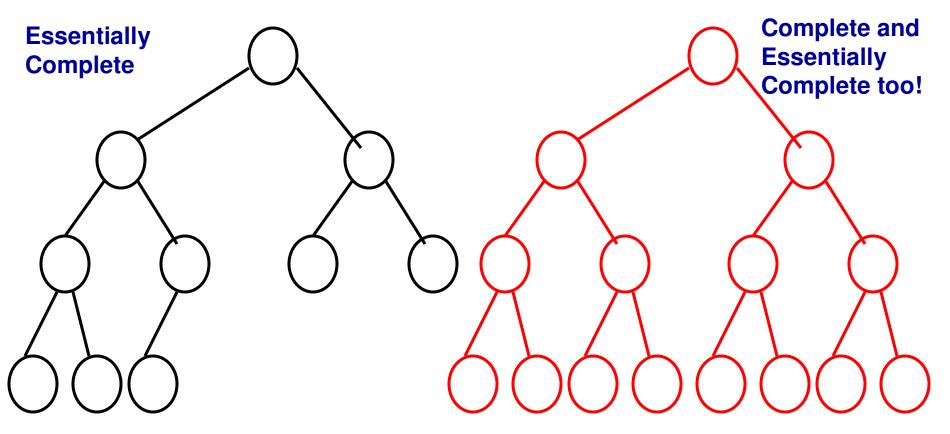
Module 8: Heap

Dr. Natarajan Meghanathan Professor of Computer Science Jackson State University Jackson, MS 39217 E-mail: natarajan.meghanathan@jsums.edu

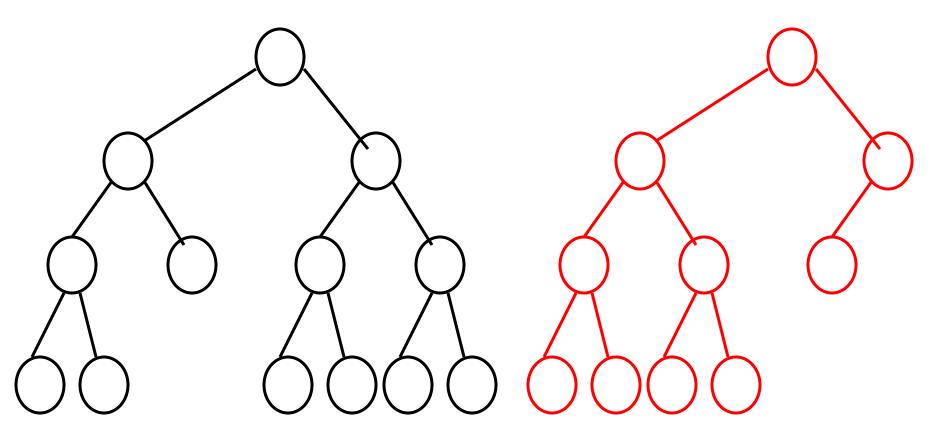
Essentially Complete Binary Tree

- A binary tree of height 'h' is essentially complete if it is a complete binary tree up to level h-1 and the nodes at level h are as far to the left as possible.
- Note: A complete binary tree is also essentially complete.



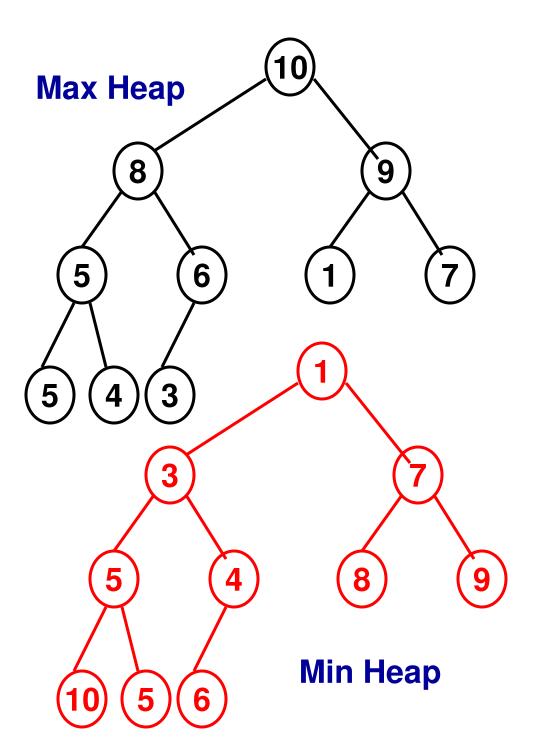
Essentially Complete Binary Tree

• The trees shown below are not essentially complete.

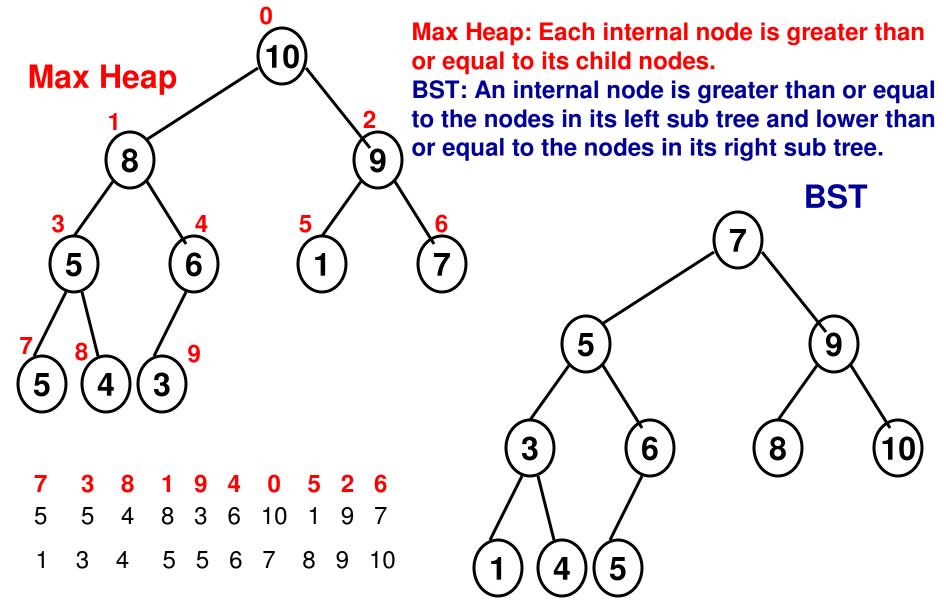


Heap

- A heap is a binary tree that satisfies the following two properties:
 - Essentially complete or complete
 - Max/Min heap
 - Max heap: The data at each internal node is greater than or equal to the data of its immediate child nodes
 - Min heap: The data at each internal node is lower than or equal to the data of its immediate child nodes

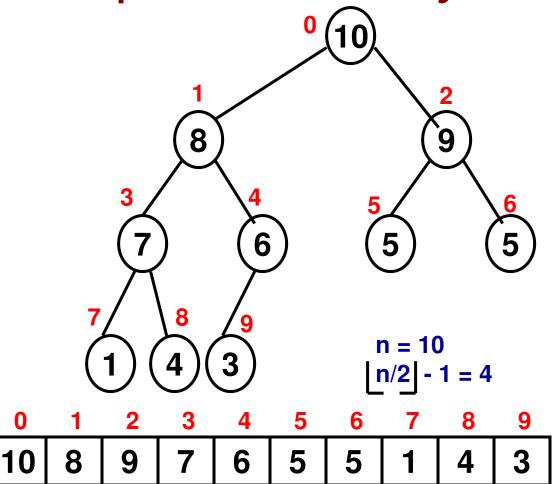


Difference between BST and Heap



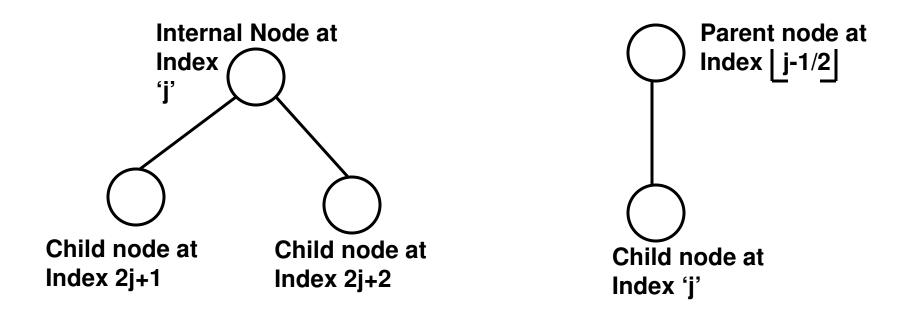
Storing the Heap as an Array

- A heap of 'n' elements can be stored in an array (index starting from 0) such that the internal nodes (in the top-down, left-right order) are represented as elements from index 0 to h/2 - 1 and the leaf nodes (again, top-down, leftright order) are represented as elements from index n/2 to n-1.
- The child nodes of an internal node at index 'j' are at indexes 2j+1 and 2j+2.
- The parent node for a node at index j is at index (j-1)/2_



The child nodes of internal node '8' at index 1 are at indexes $2^{1+1} = 3$ and $2^{1} + 2 = 4$. The parent node for node '7' at index 3 is at index (3-1)/2 = 1

Storing the Heap as an Array



For the rest of this module, we will construct and employ a 'max' heap unless otherwise specified.

The data for an internal node must be greater than or equal to that of its child nodes.

Using BFS to check whether a Binary Tree is Essentially Complete

Queue queue queue.enqueue(root node id 0) noChildZoneStarts = false

Begin BFS_BinaryTree

while (!queue.isEmpty()) do

FirstNodeID = queue.dequeue();

The moment we come across an internal node with a missing Child node (left node or right node), we set the boolean 'noChildZoneStarts' to true.

If we come across an internal node with a child node when the noChildZoneStarts boolean is already true, we declare the tree is not essentially . complete!

if (noChildZoneStarts == false AND FirstNode.leftChildNodeID == -1) noChildZoneStarts = true

else if (noChildZoneStarts == true AND FirstNode.leftChildNodeID != -1)
 return "the binary tree is not essentially complete"

if (FirstNode.leftChildNodeID != -1) then

queue.enqueue(FirstNode.leftChildNodeID)

end if

noChildZoneStarts True	LeftChild != -1 (Exists)	Not essentially complete
	== -1 (Does not exist)	OK (continue)
True False False	!= -1 (Exists) == -1 (Does not exist)	OK enqueue the left child node No child zone has begun

Using BFS to check whether a Binary Tree is Essentially Complete

if (noChildZoneStarts == false AND FirstNode.rightChildNodeID == -1)
 noChildZoneStarts = true

else if (noChildZoneStarts == true AND FirstNode.rightChildNodeID != -1) return "the binary tree is not essentially complete"

if (FirstNode.rightChildNodeID != -1) then
 queue.enqueue(FirstNode.rightChildNodeID)
end if

end while

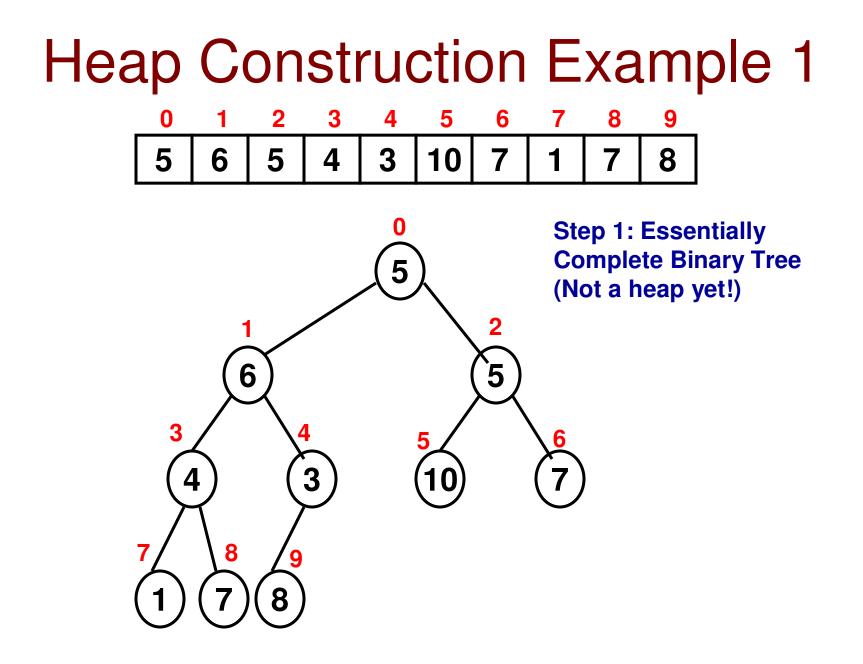
return "the binary tree is essentially complete"

End BFS_BinaryTree

Once we find out that node '3' does not have a right child, all the nodes explored further in BFS should not have any child node. Otherwise, the binary tree is not essentially complete.

Heap Construction

- Given an array of 'n' elements,
- <u>Step 1:</u> Construct an essentially complete binary tree and then reheapify the internal nodes of the tree to make sure the max or min heap property is satisfied for each internal node.
- <u>Step 2:</u> Reheapify an internal node for 'max' heap: If the data at an internal node is lower than that of one or both of its child nodes, then swap the data for the internal node with the larger of the data of its two child nodes.
 - If any internal node further down is affected because of this swap, the reheapify operation is recursively continued all the way until a leaf node is reached.
- The reheapify operation is started from the node at index <u>n/2</u> 1 and continued all the way to the node at index 0.



2

5

6

0

5

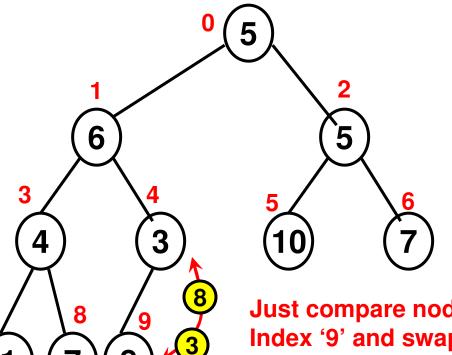
3

4

4

3

Before (Reheapify at Index '4'):



Step 2: Reheapify node at index '4' and down further if needed Compare the node at index '4' with its child nodes at index 2*4 + 1 = 9and index 2*4 + 2 = 10. Since index '10' does not exist and index 9 exists, it implies we have reached a leaf node (at index 9) and there is no need to proceed further down.

Just compare node at index '4' with the child node at Index '9' and swap them, if needed. In this case: Yes, We need to swap.

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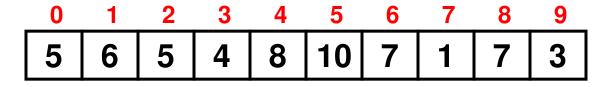
7

9

8

After (Reheapify at Index '4'):

8



2

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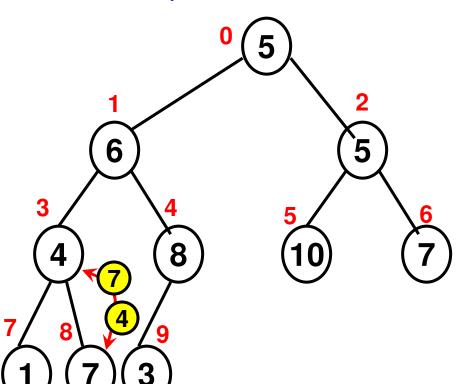
5

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Before (Reheapify at **Index '3'):**



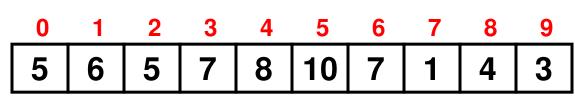
Step 2: Reheapify node at index '3' and down further if needed Compare the node at index '3' with its child nodes at index $2^{*}3 + 1 = 7$ and index $2^*3 + 2 = 8$. In this case, We swap element at index '3' with element at index '8'. Since 8 is already a leaf node, we do not proceed down further.

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9

3

After (Reheapify at Index '3'):



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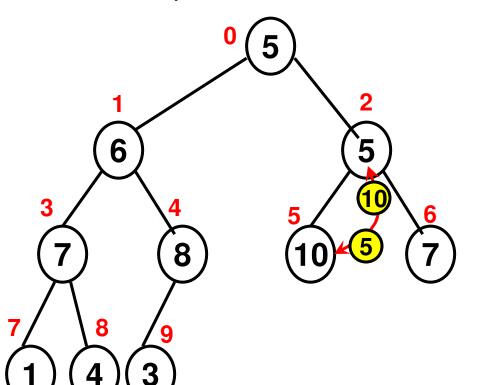
2

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5

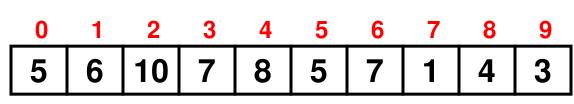
6

Before (Reheapify at Index '2'):



Step 2: Reheapify node at index '2' and down further if needed Compare the node at index '2' with its child nodes at index 2*2 + 1 = 5and index 2*2 + 2 = 6. In this case, We swap element at index '2' with element at index '5'. Since 5 is already a leaf node, we do not proceed down further.

After (Reheapify at Index '2'):



5

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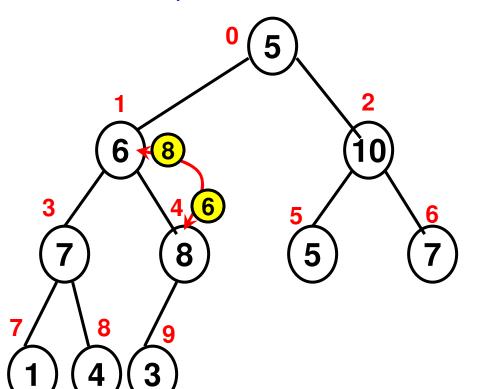
2

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6

Before (Reheapify at Index '1'):



After (Reheapify at Index '1'):

Step 2: Reheapify node at index '1' and down further if needed Compare the node at index '1' with its child nodes at index 2*1 + 1 = 3and index 2*1 + 2 = 4. In this case, We swap element at index '1' with element at index '4'. Again do a reheapify at index '4', if needed and continue in a recursive

5

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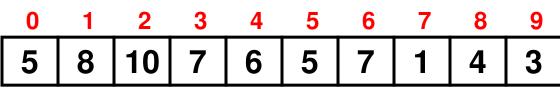
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9

3

fashion until it is no longer needed.



3

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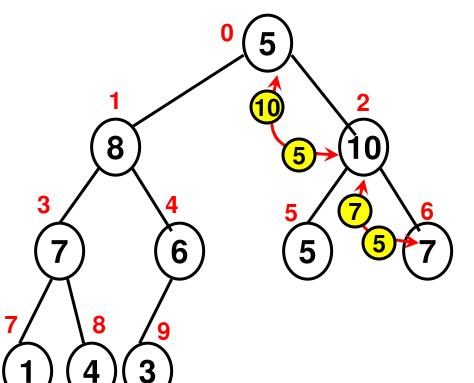
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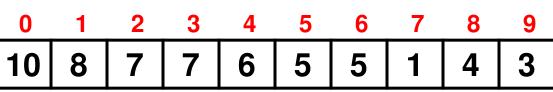
5

8

Before (Reheapify at Index '0'):



After (Reheapify at Index '0'):



Step 2: Reheapify node at index '0' and down further if needed Compare the node at index '0' with its child nodes at index 2*0 + 1 = 1 and index 2*0 + 2 = 2. In this case, We swap element at index '0' with element at index '2'. Again do a reheapify at index '2' as the element now at index '2' (which is 5) is lower than the maximum of its two child nodes (which is 9 at index '6').

Heap Construction Example 1 **Final Array** Representing **Max Heap** (10)

Main Function

int arraySize; cout << "Enter array size: "; cin >> arraySize;

int array[arraySize];

int maxValue; cout << "Enter the max. value for any element: "; cin >> maxValue;

```
Max Heap
Construction
(Code 8.1:
C++)
```

```
srand(time(NULL));
```

```
//max. heap construction
```

```
cout << "Generated array: ";
for (int i = 0; i < arraySize; i++){
    array[i] = rand() % maxValue;
    cout << array[i] << " ";
}</pre>
```

```
for (int index = (arraySize/2)-1; index >= 0; index--)
rearrangeHeapArray(array, arraySize, index);
```

```
cout << endl;</pre>
```

}

7.1: Reheapify Code (C++)

void rearrangeHeapArray(int *array, int arraySize, int index){

// max heap construction

```
int leftChildIndex = 2*index + 1;
int rightChildIndex = 2*index + 2;
```

// If the node at 'index' does not have a left child (implies it does
if (leftChildIndex >= arraySize) // not have right child too), then there
return; // is no need to reheapify at that index

// If the node at 'index' does not have a right child (if the control reaches
 if (rightChildIndex >= arraySize){ // here, it implies the node
 // Check if the data for the // at 'index' has a left child)

```
// node at if (array[index] < array[leftChildIndex]){
// index' is less int temp = array[index];
// than that of its
// left child. If so,
// swap
}</pre>
```

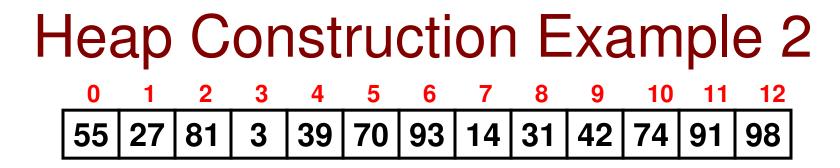
```
return;
```

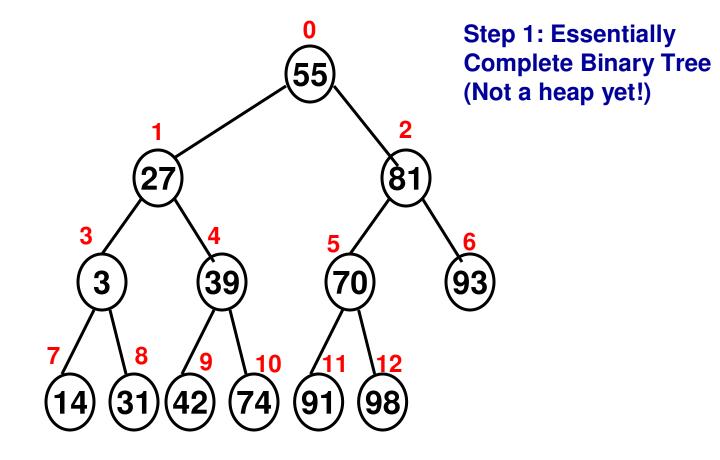
}

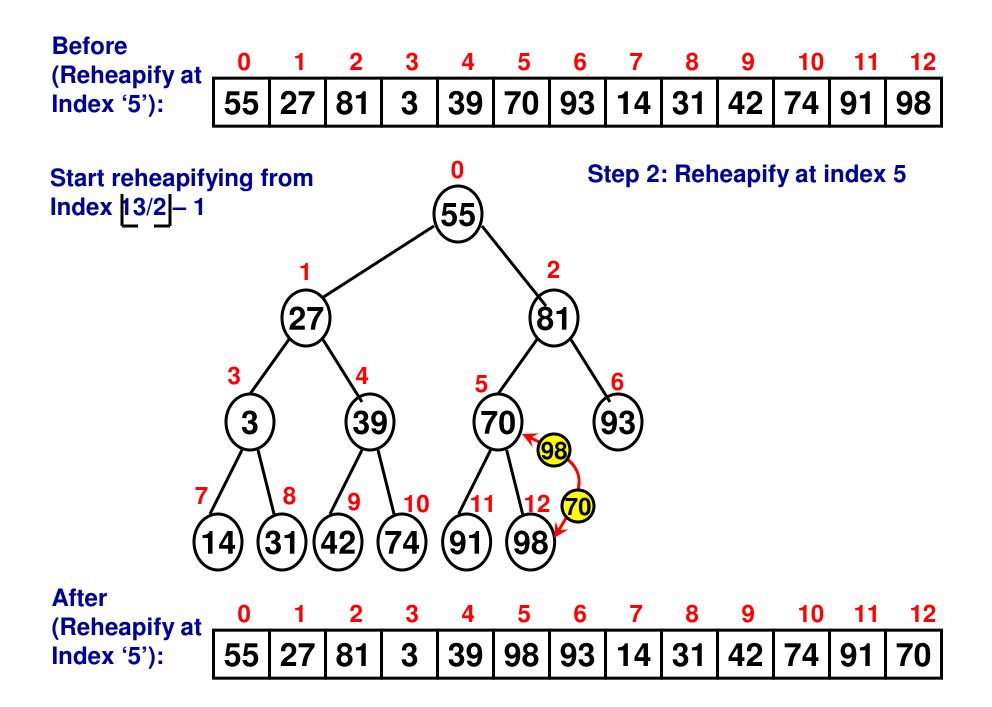
<pre>// If the control reaches here, it means the node at 'index' has both left child // and right child // if the node at 'index' has dete that is arrester than ar equal to </pre>			
if (array[index] >= array[leftChildInd	ex & both its left child		
array[index] >= array[rightChildI	ndex]) then there is no need		
return;	to reheapify for this index		
// If the control reaches here, it implies the node at 'index' has data that			
is less than at least one of its			
int maxIndex = leftChildIndex;	two child nodes		
if (array[leftChildIndex] < array[rightChildIndex])			
maxIndex = rightChildIndex;	// Between the left and right		
manuel ingreennamen,	// child nodes, find the node		
	// that has relatively larger		
int temp = array[maxIndex];	// data, call the index of this		
array[maxIndex] = array[index];	<pre>// as 'maxIndex' and swap</pre>		
	<pre>// its value with the node at</pre>		
array[index] = temp;	// 'index'.		

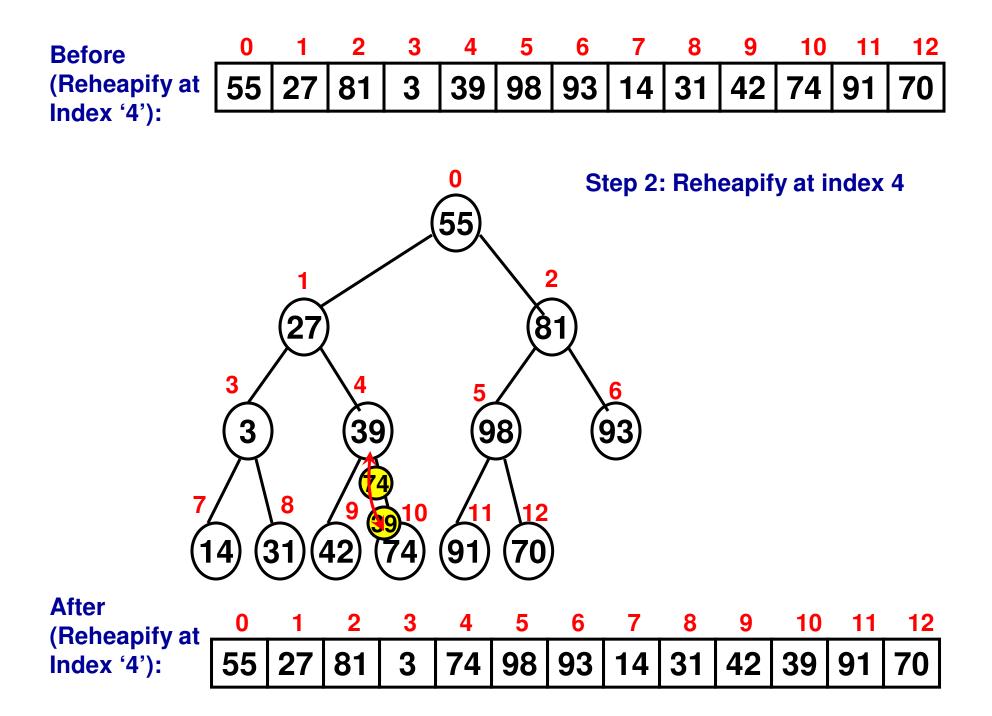
rearrangeHeapArray(array, arraySize, maxIndex);

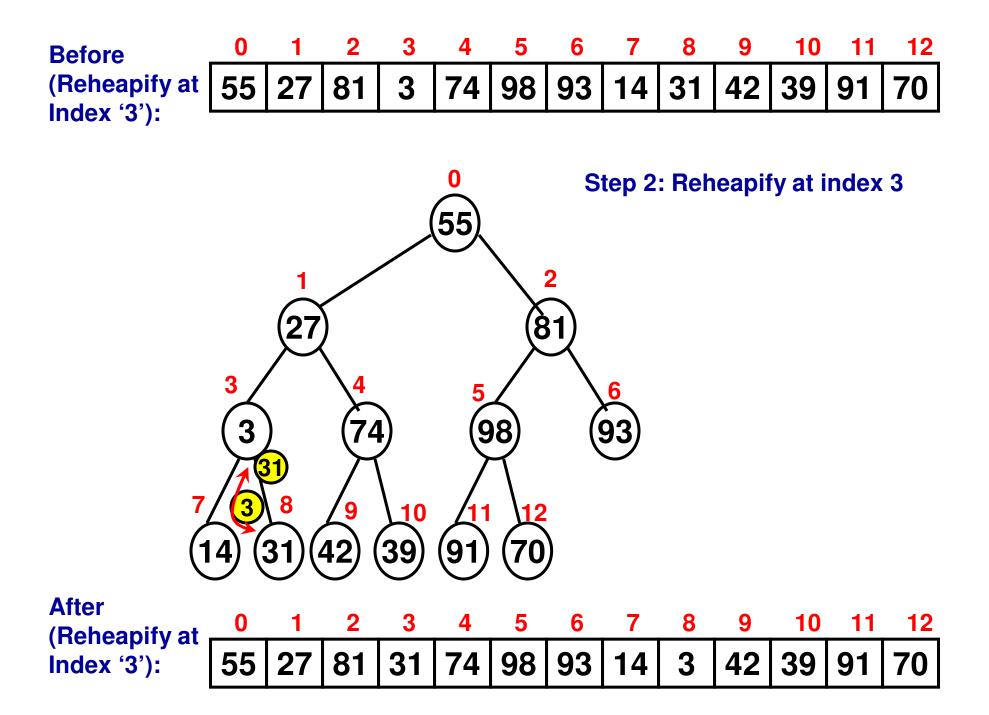
// Call the rearrangeHeap function in a recursive fashion
// to see if further rearrangements need to be done starting
// from maxIndex

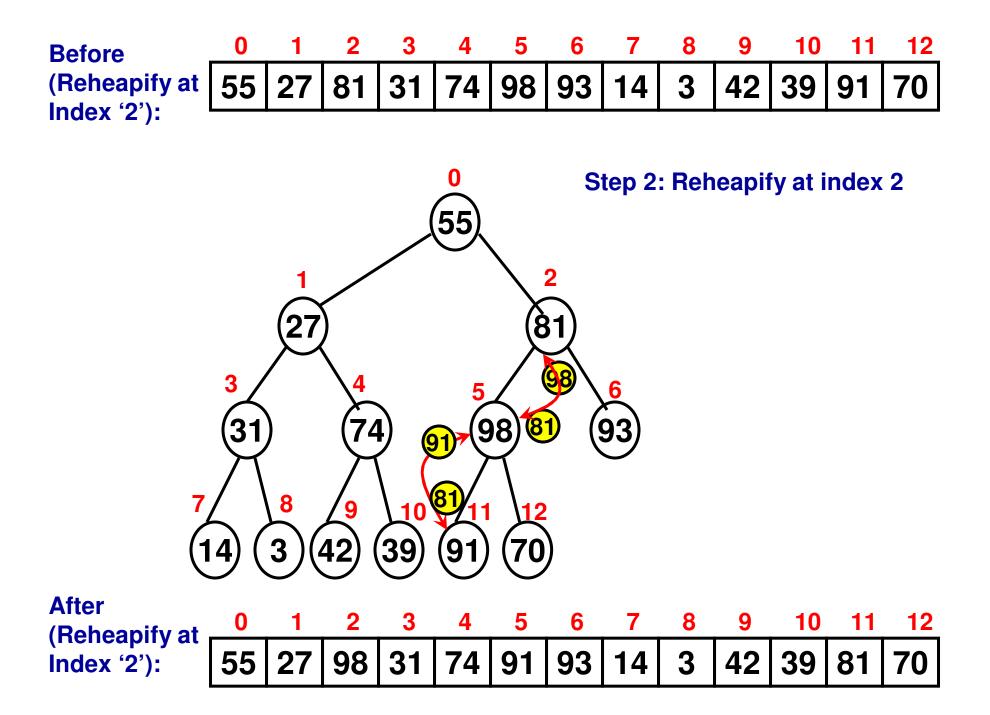


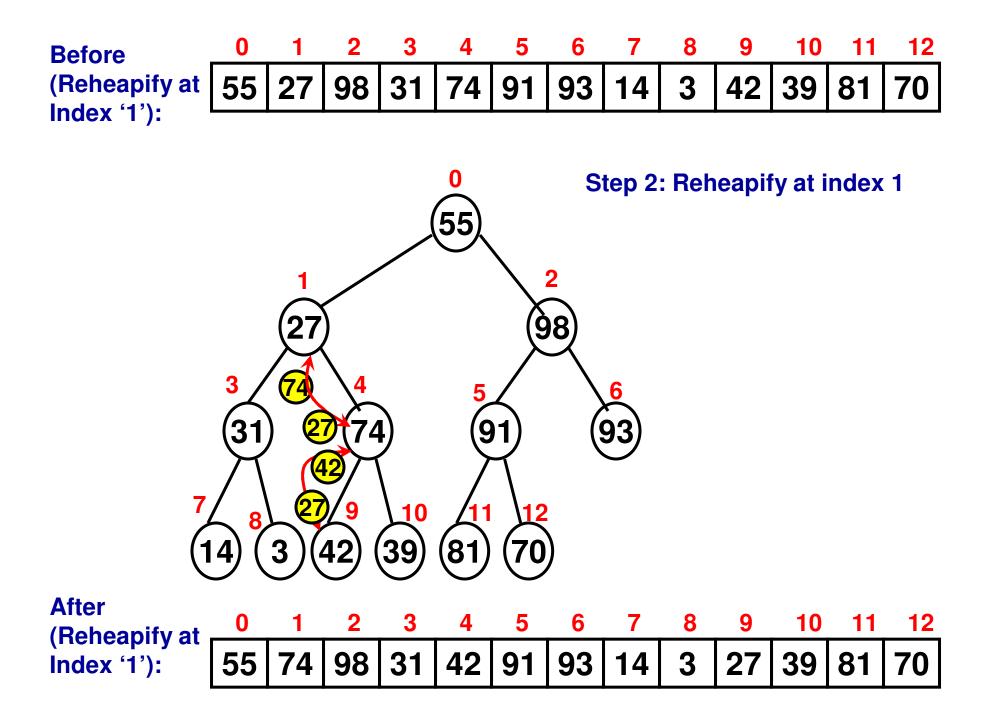


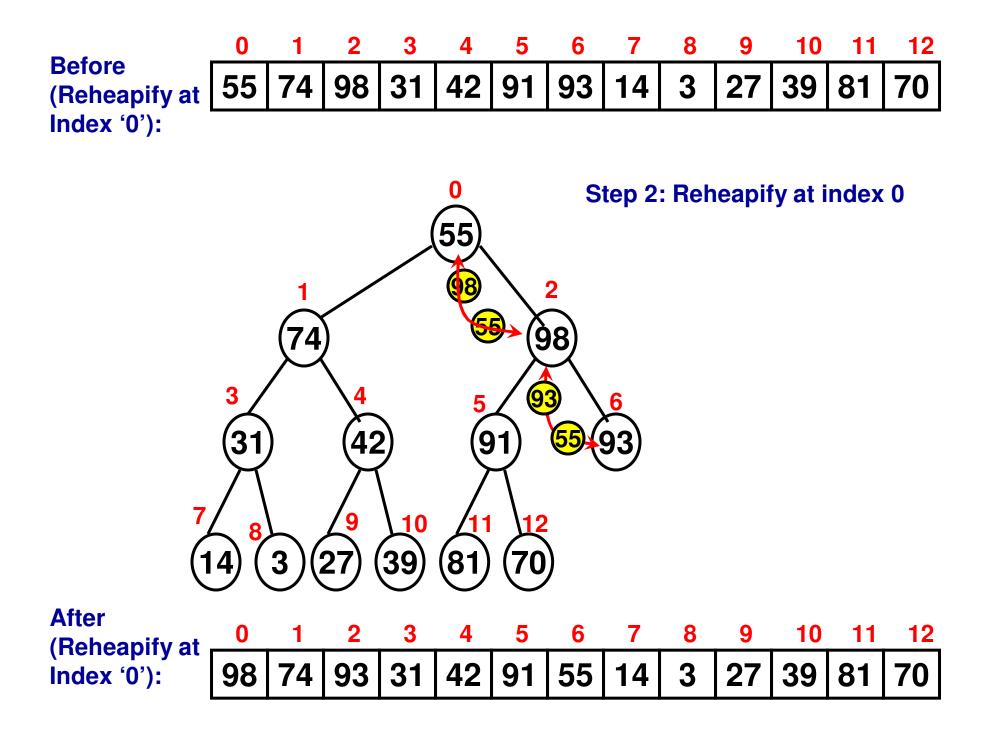


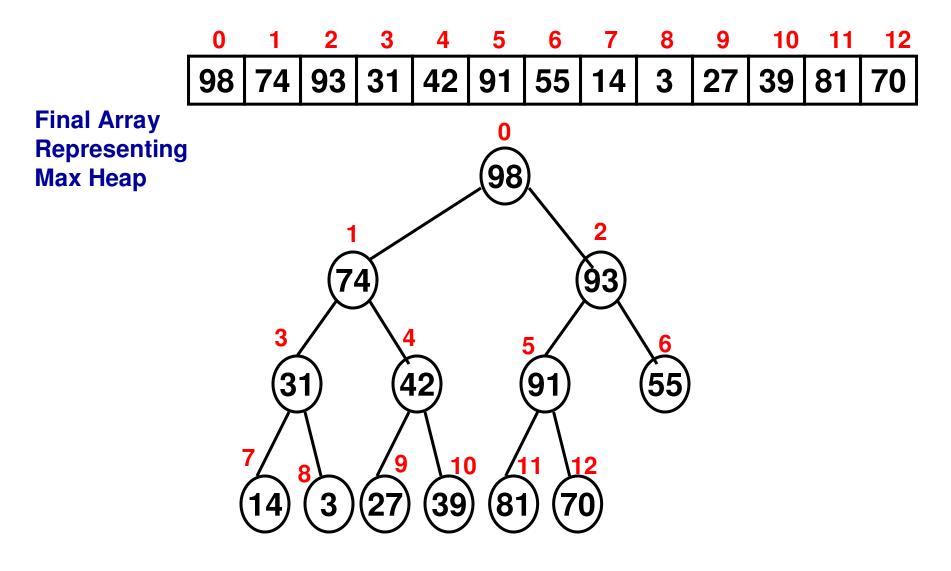






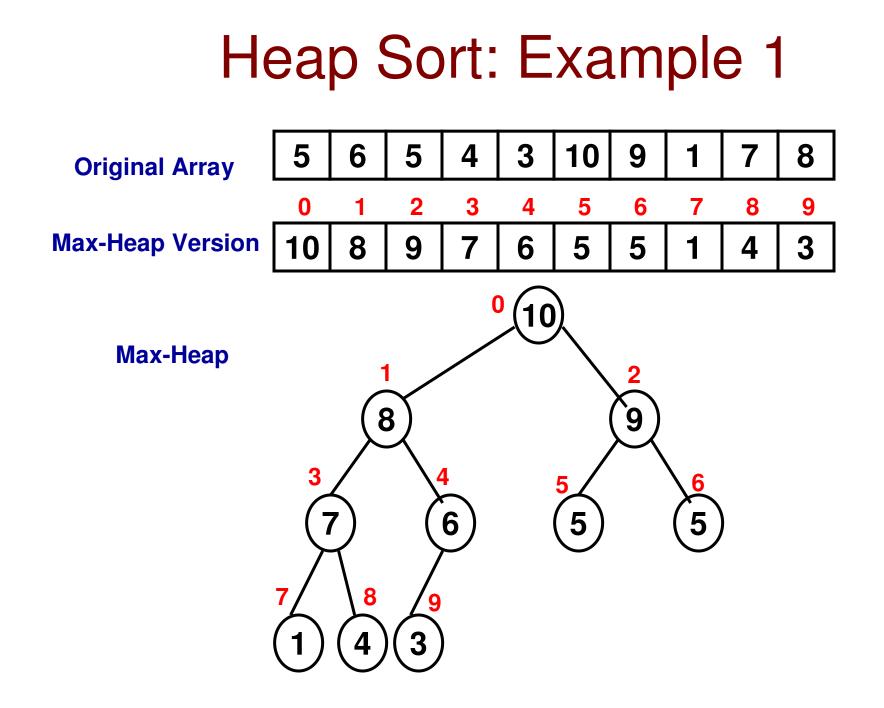


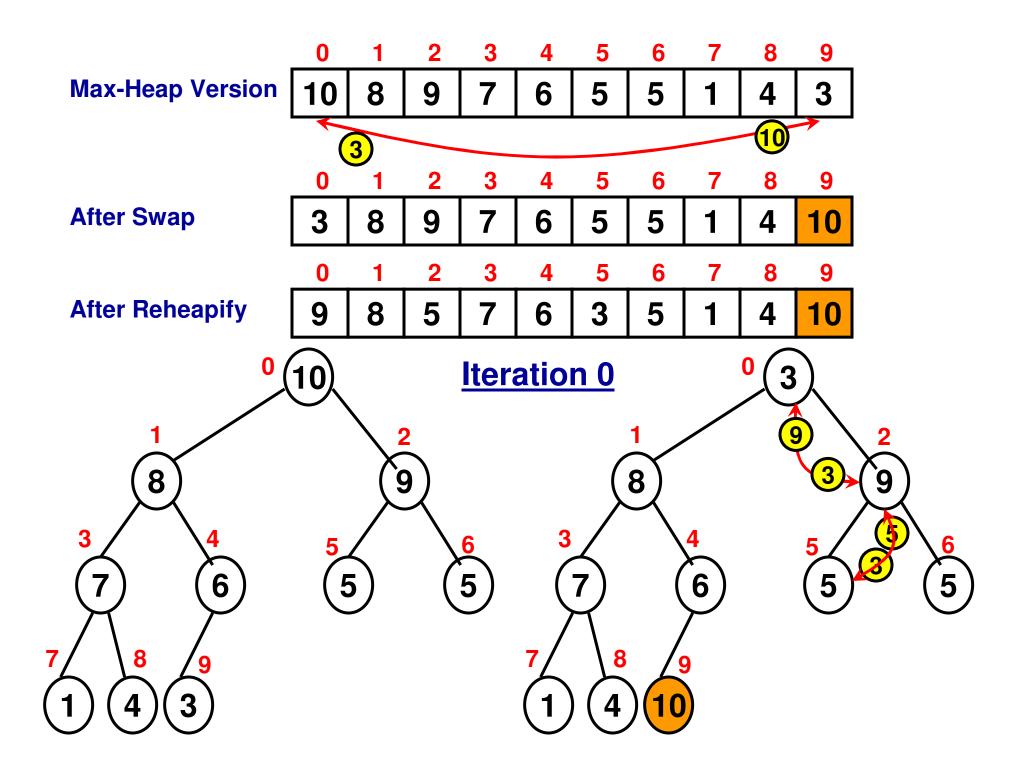


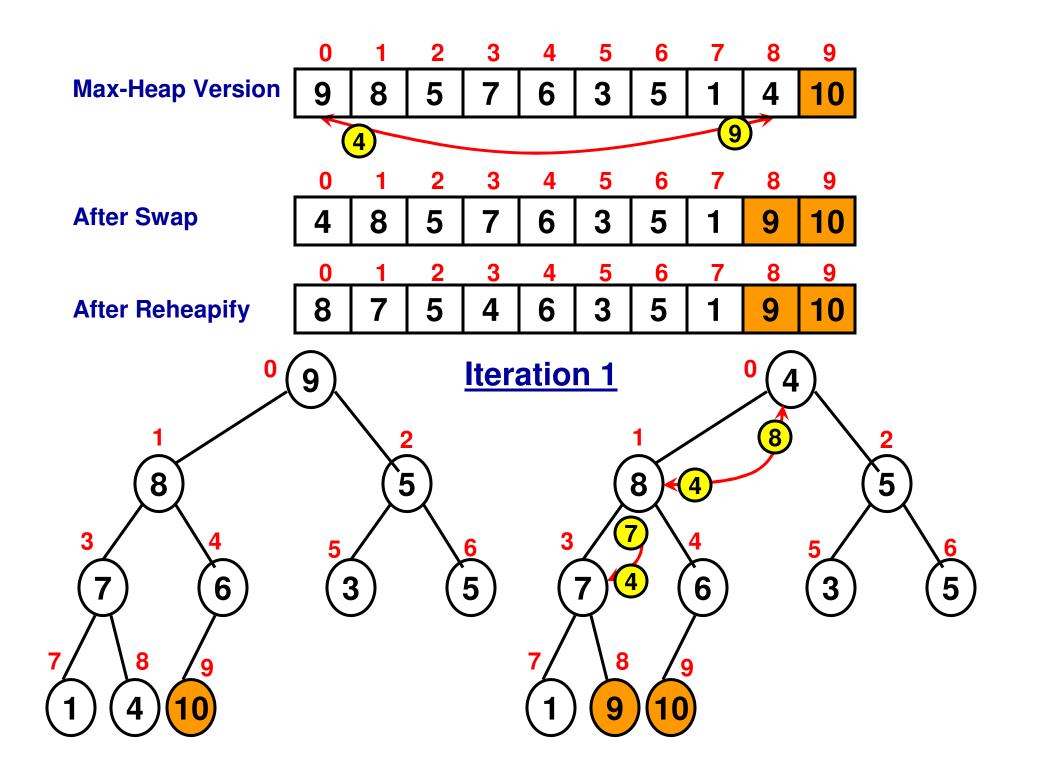


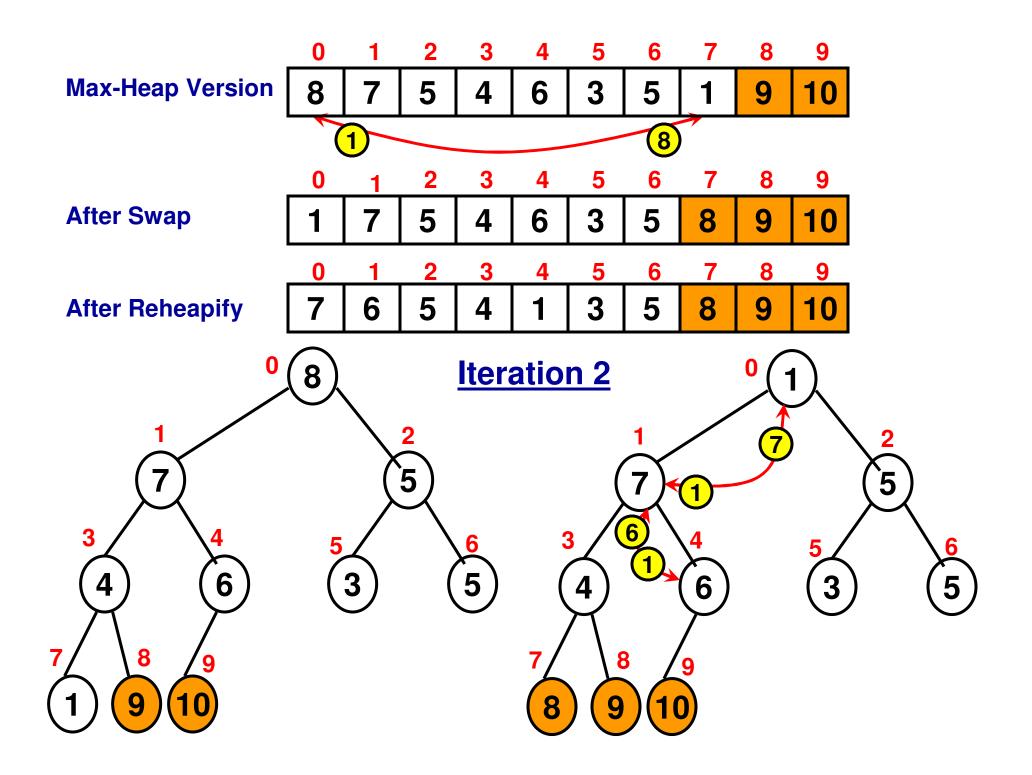
Heap Sort

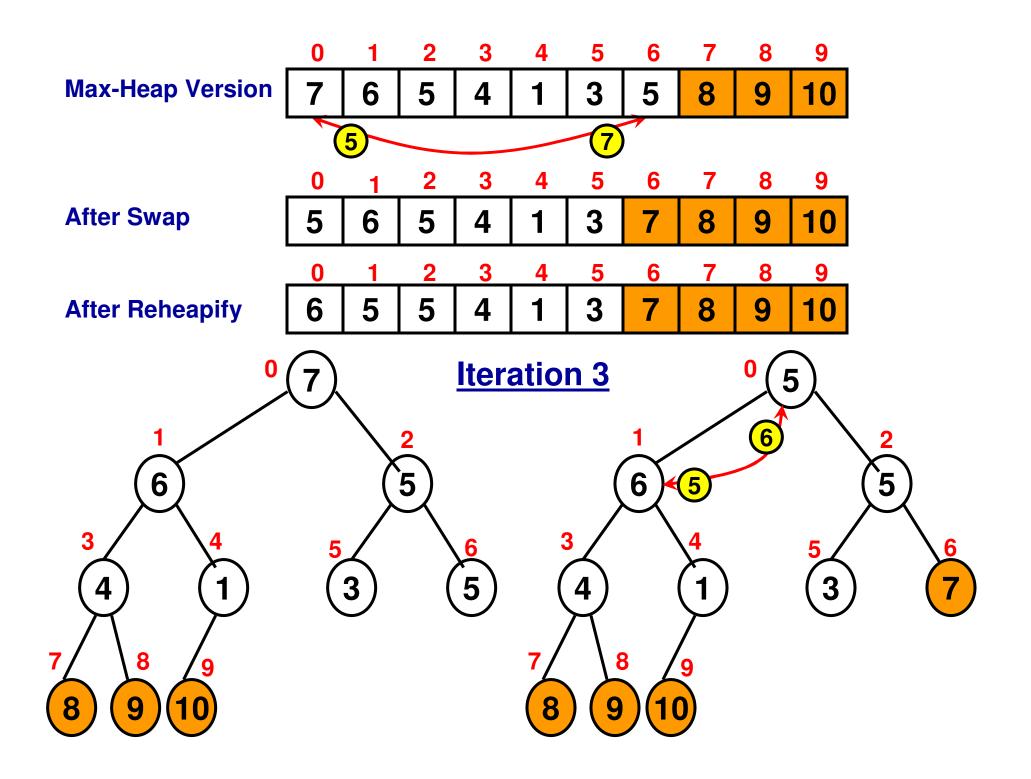
- Given an array of size 'n', first construct a maxheap version of the array.
- Run 'n-1' iterations (iteration index 0 to n-1)
 - Swap element at index "0" with element at index "n-1iteration index"
 - Element at index "0" has now moved to its final location "n-1-iteration index" in the sorted array
 - Reheapify the array as a result of this swap with the array index values ranging from "0" to "n-1-iteration index – 1".
- Each iteration would require "logn" swappings at the worst case, across the entire height of the binary tree.
- For a total of 'n-1' iterations, the time complexity of heap sort is O(nlogn).

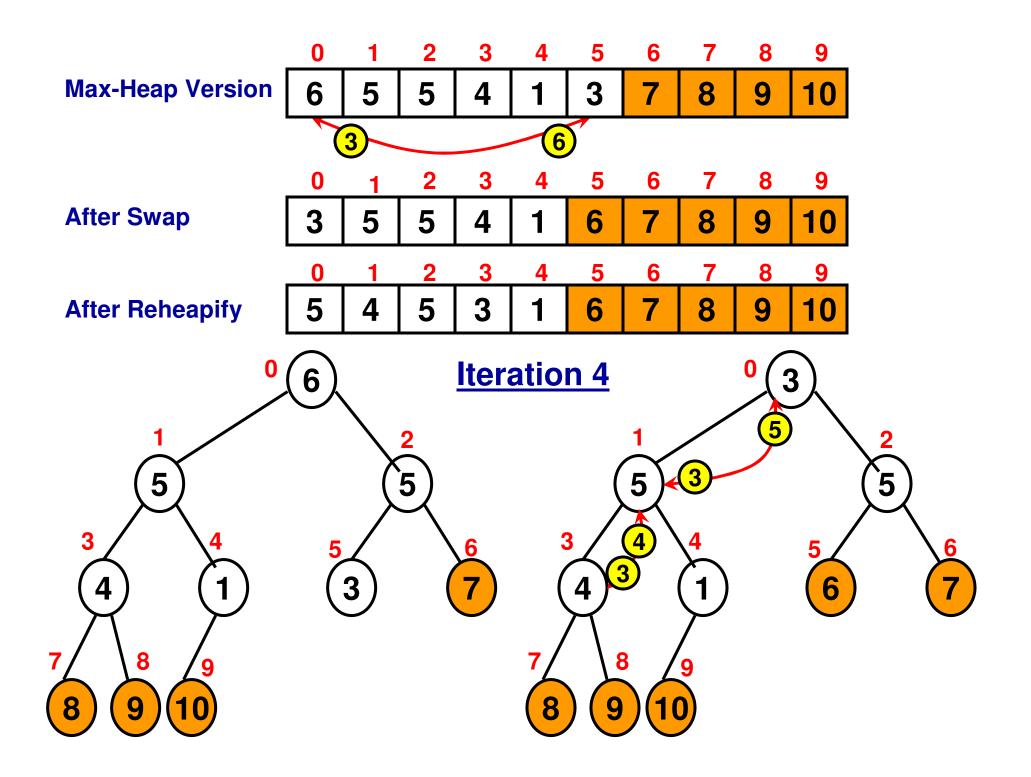


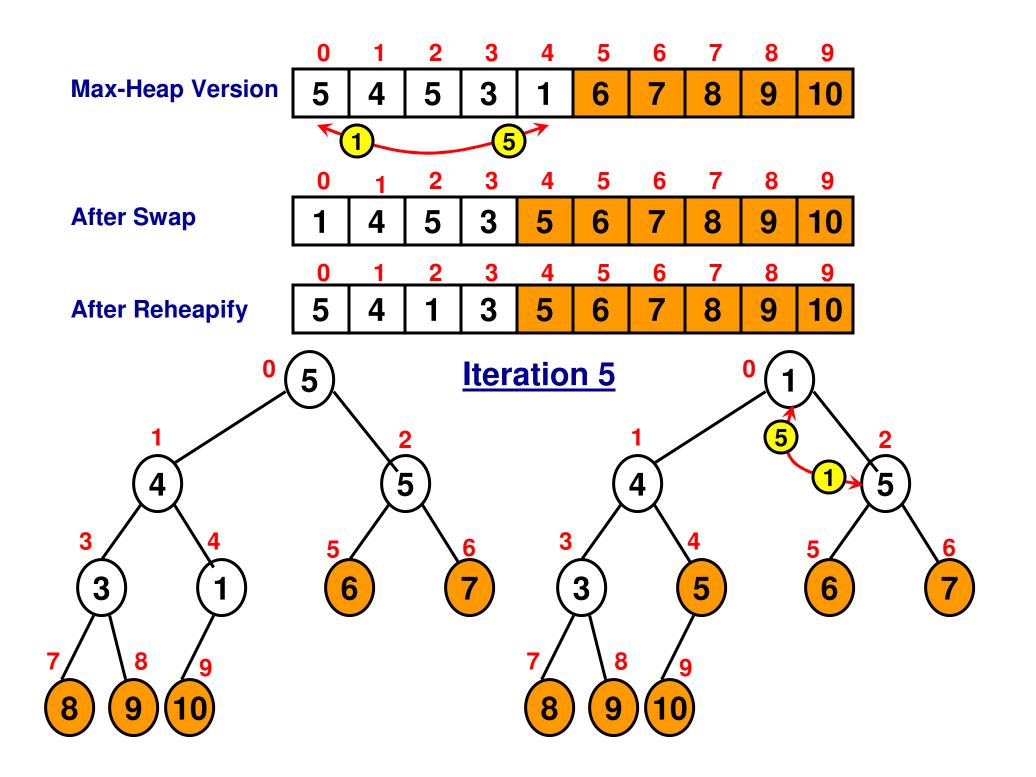


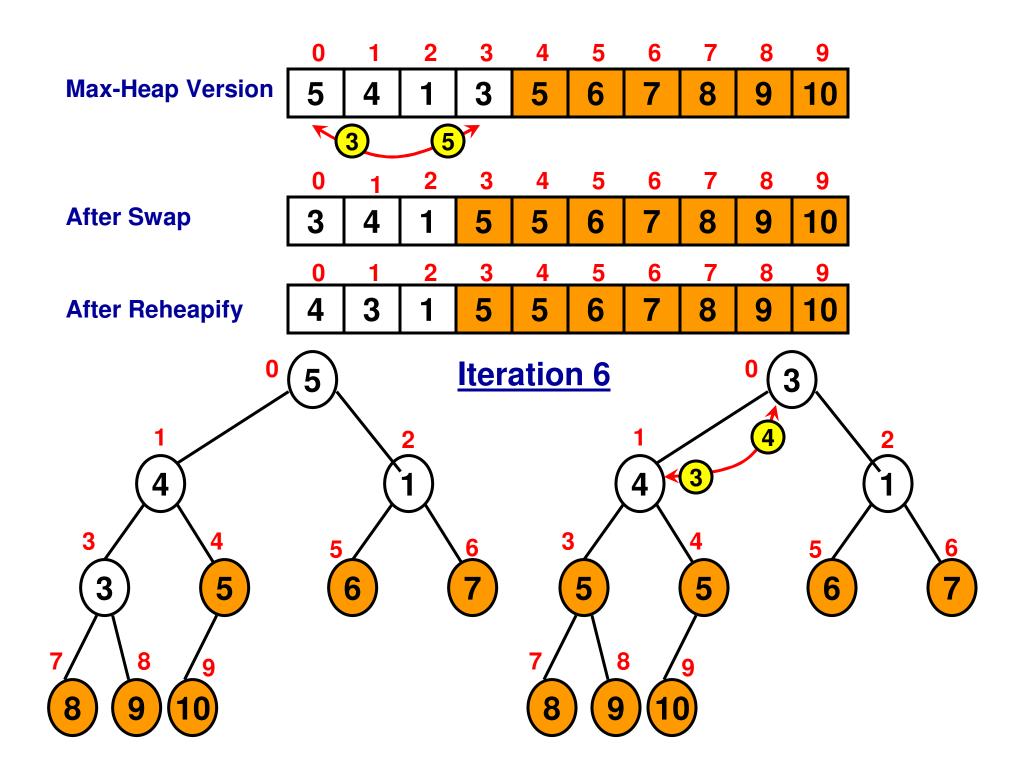


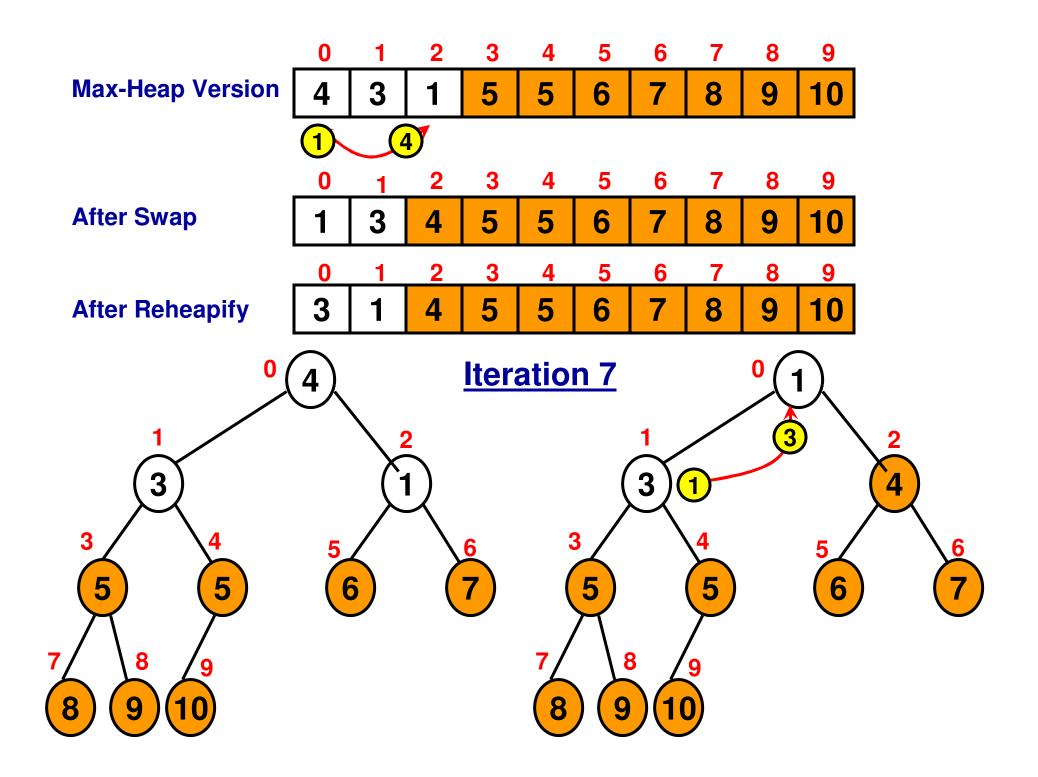


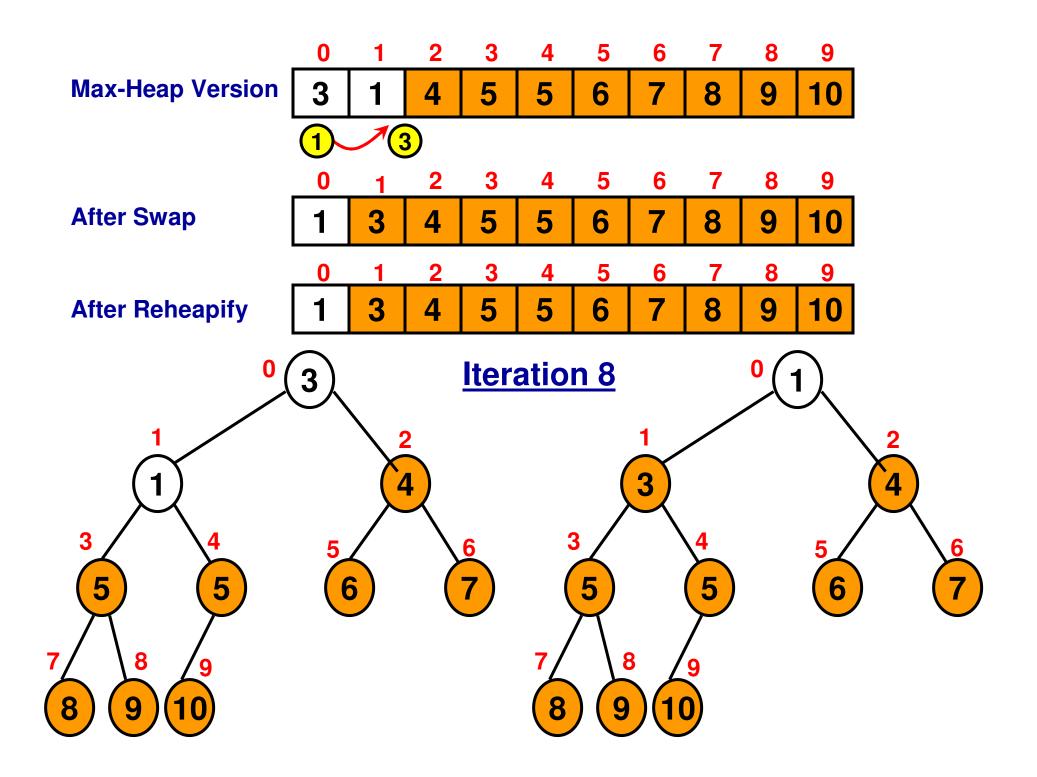


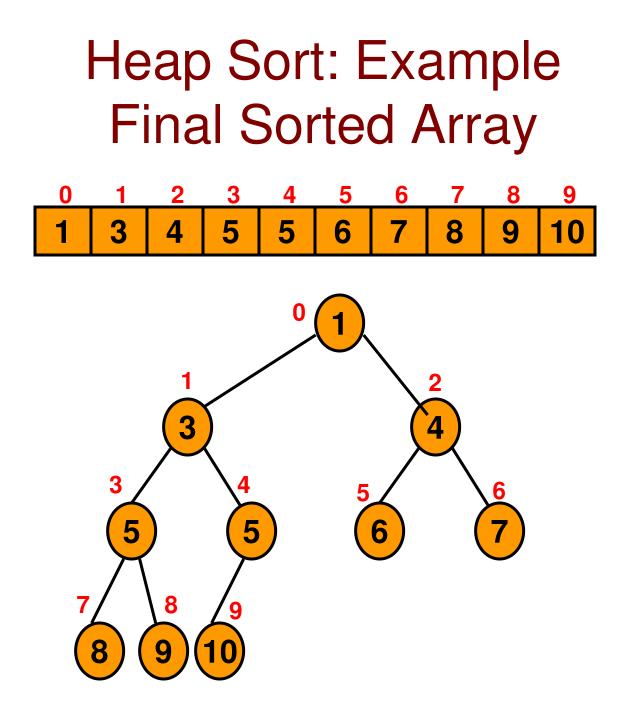












Heap Sort (Code 8.1: C++)

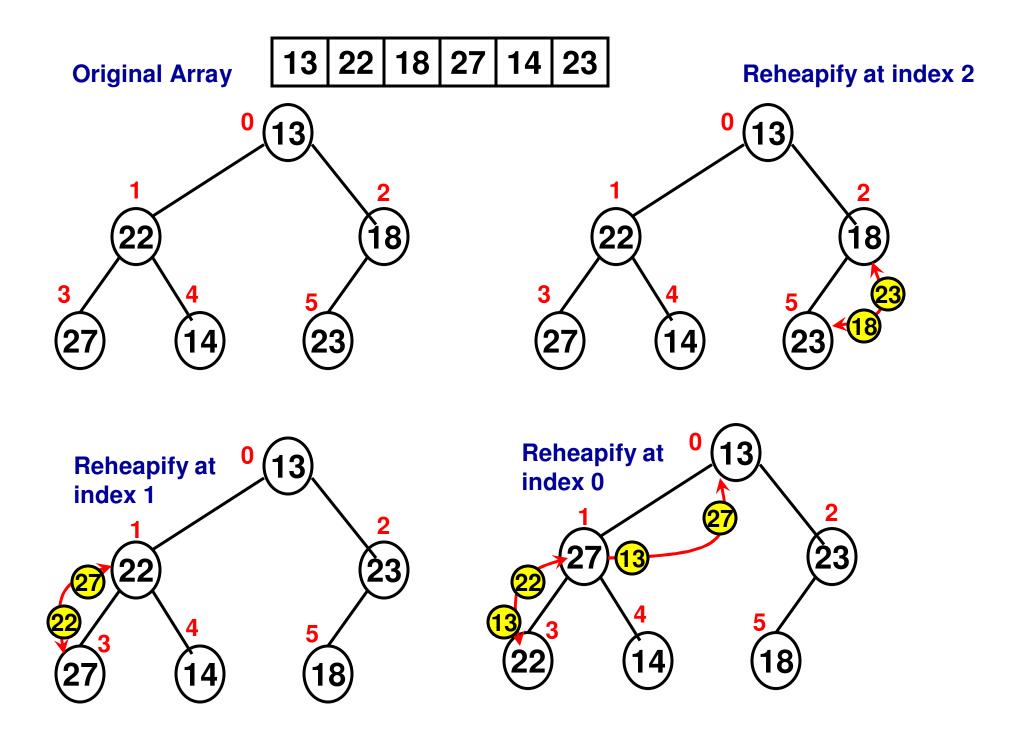
rearrangeHeapArray(array, arraySize-1-iterationIndex, 0);

cout << endl;</pre>

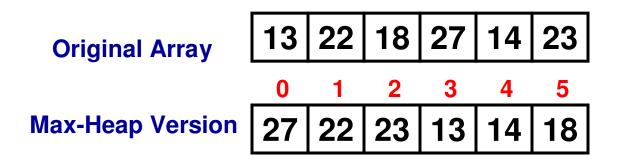
}

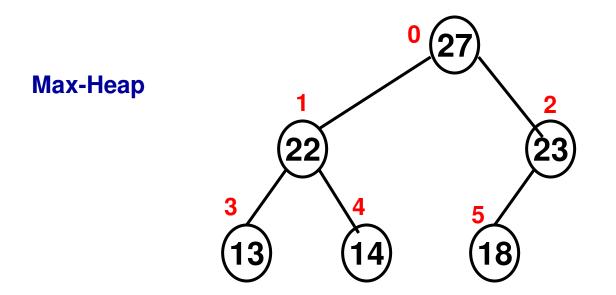
The active portion of the array ranges from Index '0' to 'arraySize-1-iterationIndex'

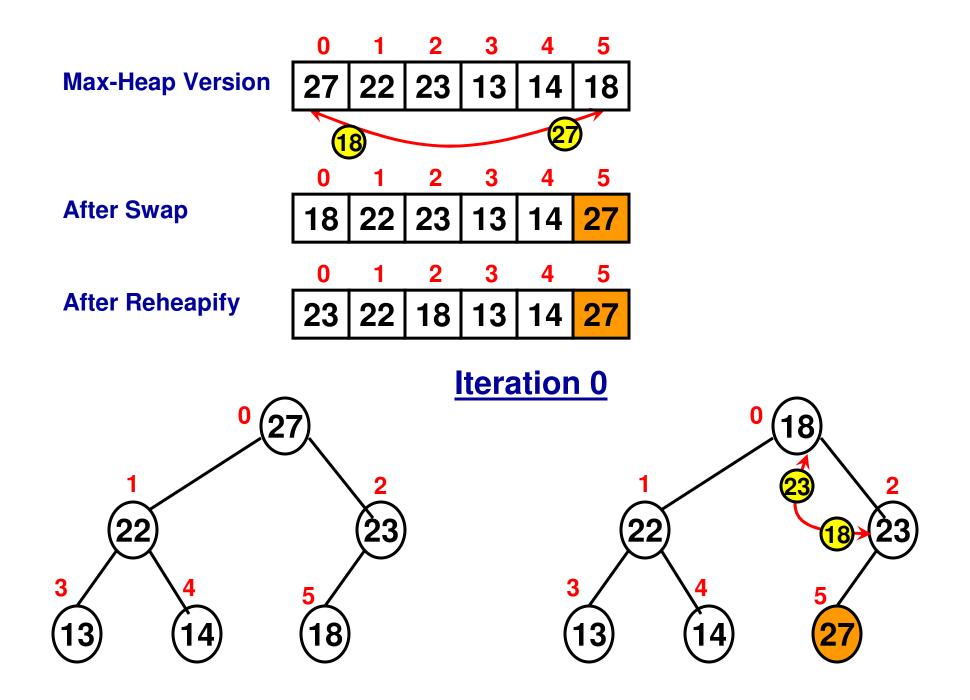
After the swap, the size of the active portion of the array is 'arraySize-1-iterationIndex'

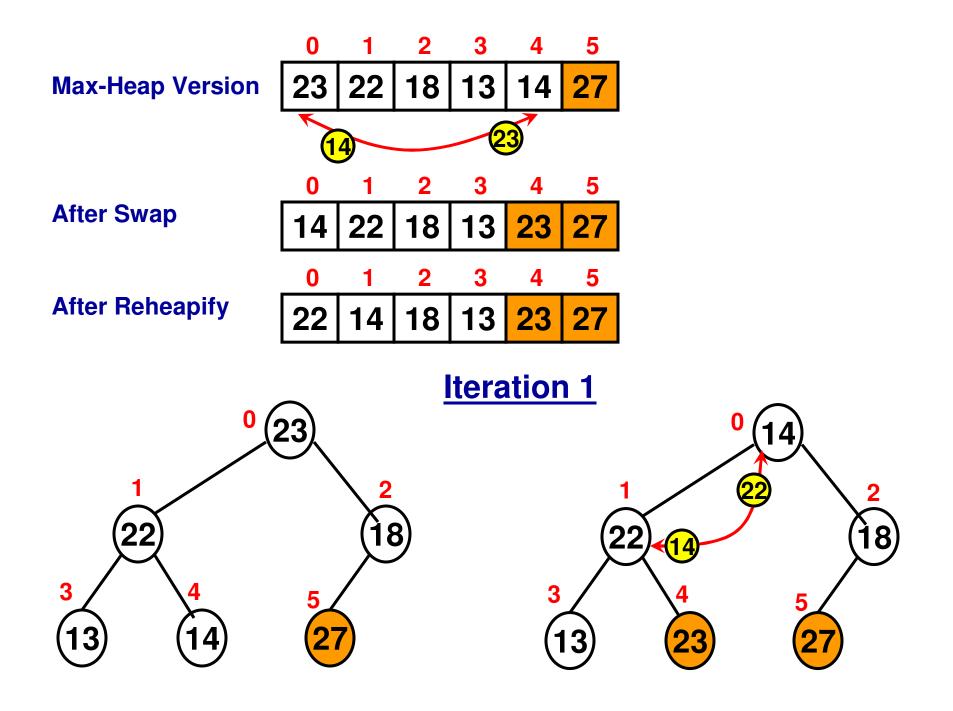


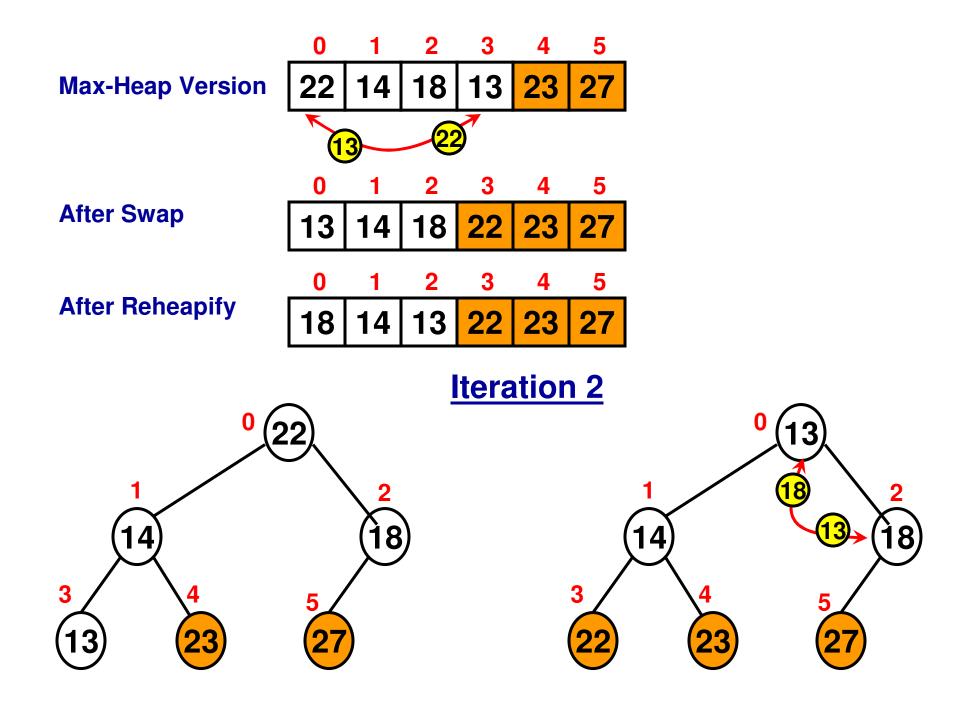
Heap Sort: Example 2

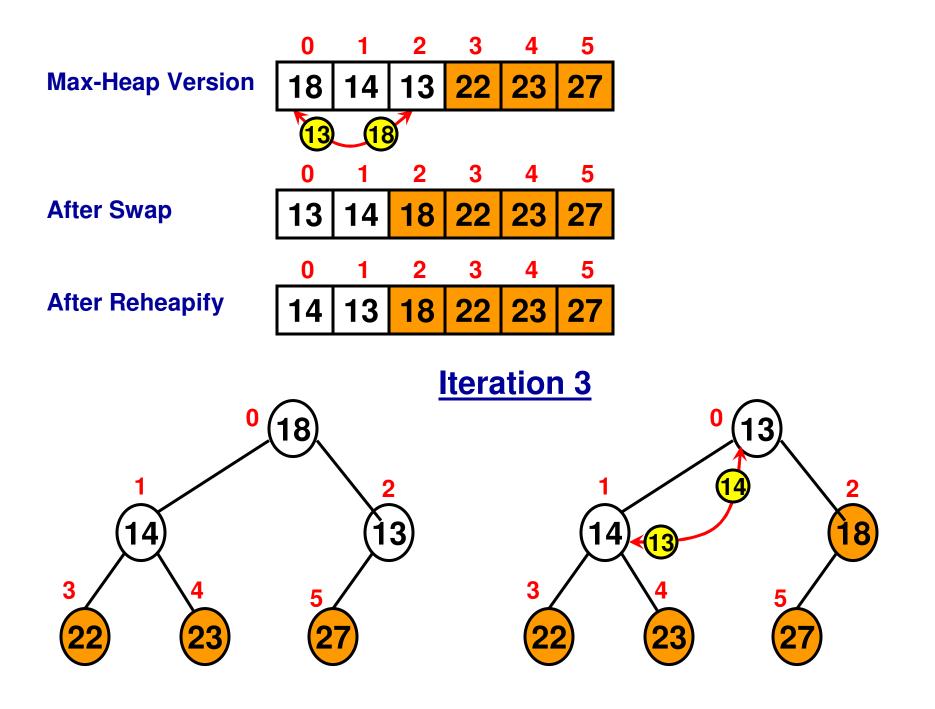


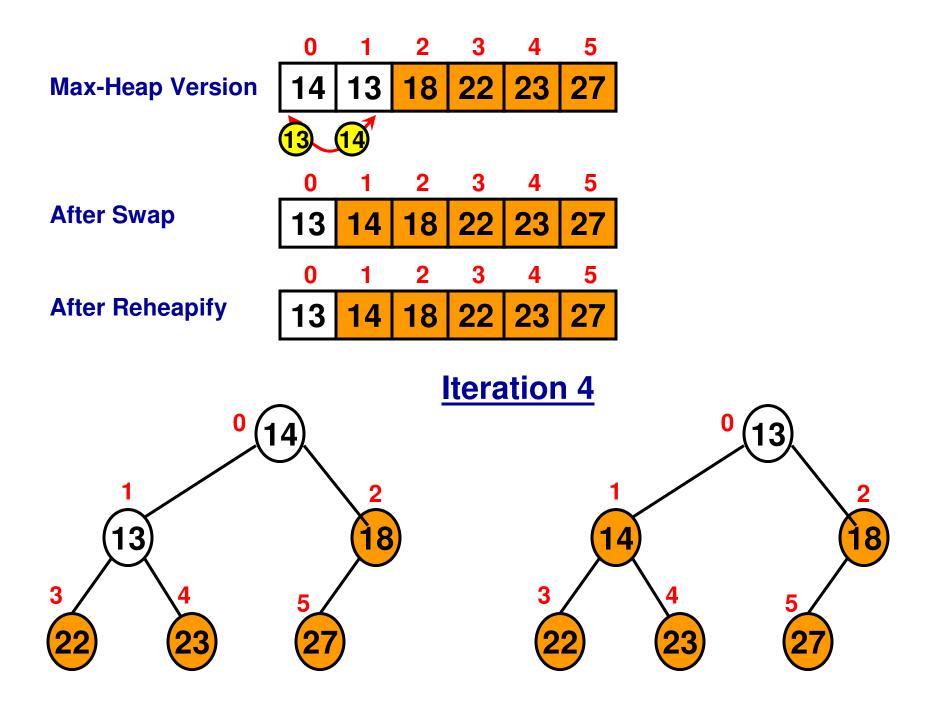




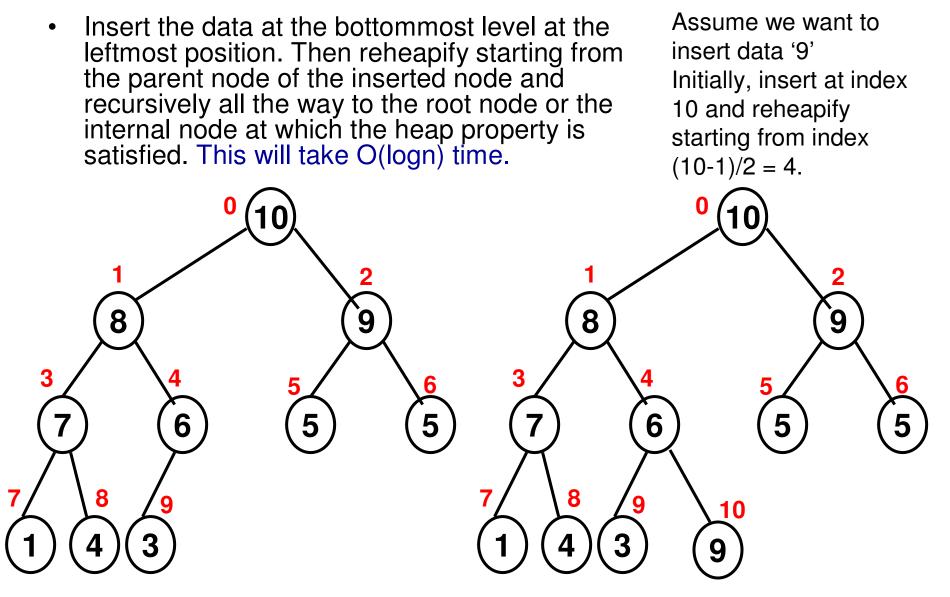




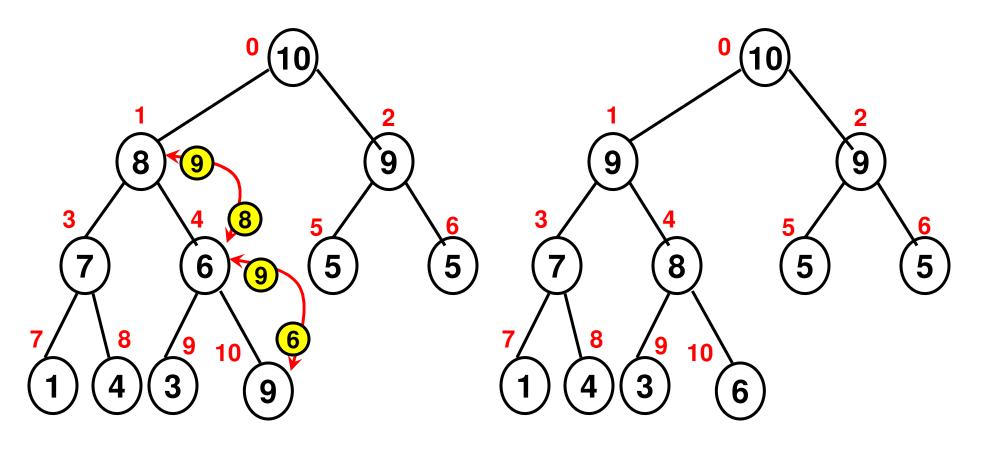




Inserting Data to a (Max) Heap



Inserting Data to a (Max) Heap

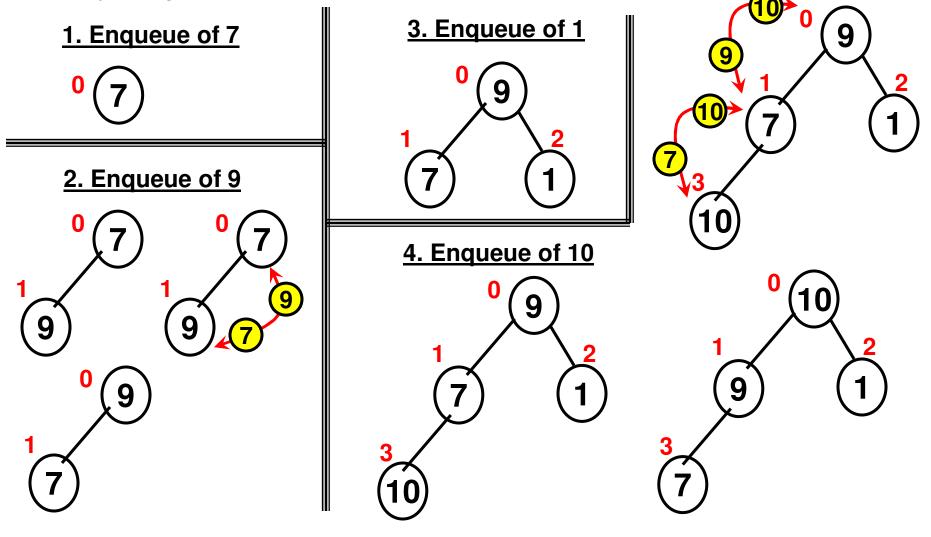


Heap – Priority Queue

- A heap can be used to implement a priority queue.
- Each element in the queue has a priority (typically, the numerical value of the element is its priority).
- The elements in the queue are arranged as a max or min heap (depending on how we define priority: the element with the largest value has the highest priority max heap; the element with the lowest value has the highest priority min heap).
- A dequeue operation on the priority queue will remove the root node of the heap and it will take O(logn) time to reheapify the heap.
- An enqueue operation on the priority queue will insert the node initially at the last index and then reheapify all the way to the root node if needed: O(logn) time.
- <u>Tradeoff</u>: We saw earlier that a regular FIFO queue could be implemented as a doubly linked list with O(1) time for the enqueue and dequeue operations.

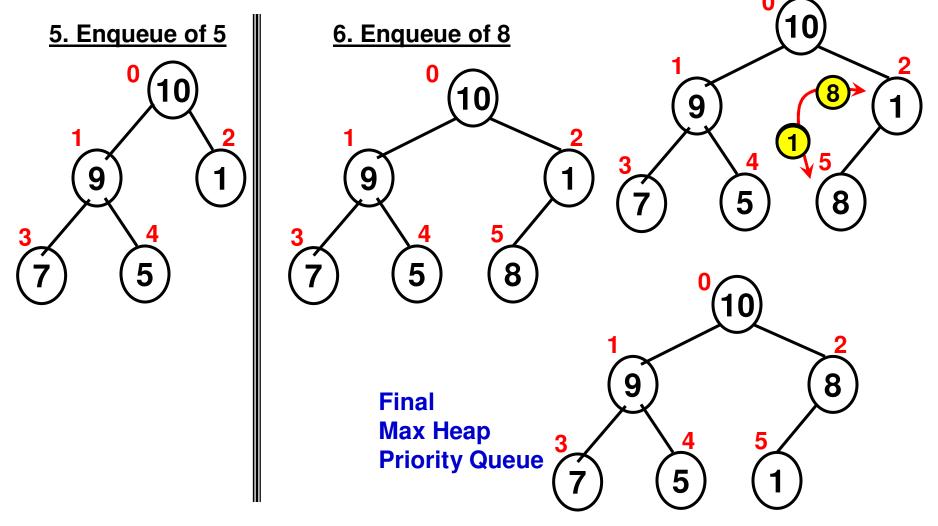
Priority Queue Construction: Example

• Construct a sequence of priority queues (max heaps) with the joining of the elements 7, 9, 1, 10, 5, 8 one at a time.



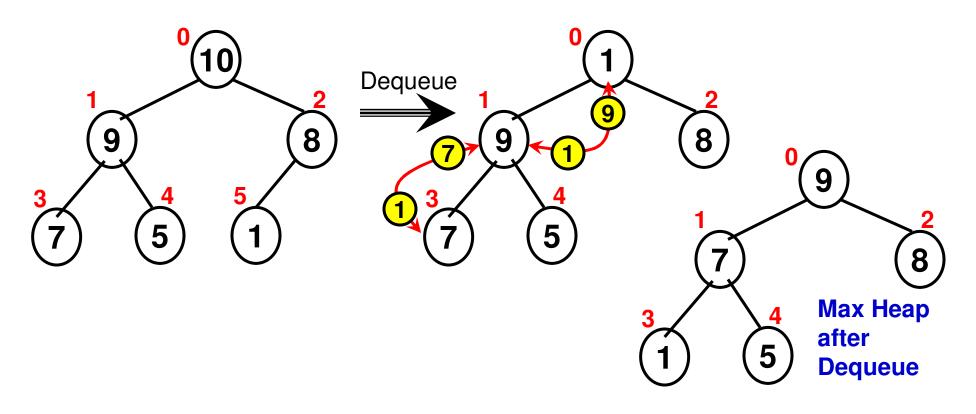
Priority Queue Construction: Example

• Construct a sequence of priority queues (max heaps) with the joining of the elements 7, 9, 1, 10, 5, 8 one at a time.



Dequeue of a Priority Queue (Max Heap)

- Remove the root node.
- Replace the data for the root node with the data of the element at the rightmost leaf node at the bottommost level, and remove the latter.
- Reheapify starting from the root node.

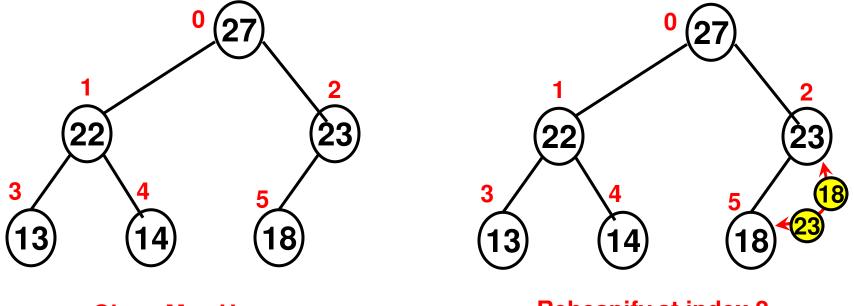


Binary Tree Transformations

- Max Heap to Min Heap
 - Reheapify starting from the last internal node: at each internal node (and recursively down to a leaf node, if needed) so that the "min heap" property is satisfied.
- Min Heap to Max Heap
 - Reheapify starting from the last internal node: at each internal node (and recursively down to a leaf node, if needed) so that the "max heap" property is satisfied.
- Max Heap or Min Heap to a BST
 - Superimpose the sorted order of the data with the inorder listing of the indices of the heap
- BST to a Min Heap
 - Superimpose the inorder listing of the BST data with the Preorder listing of the indices of the BST
- BST to a Max Heap
 - Superimpose the inorder listing of the BST data with the Postorder listing of the indices of the BST

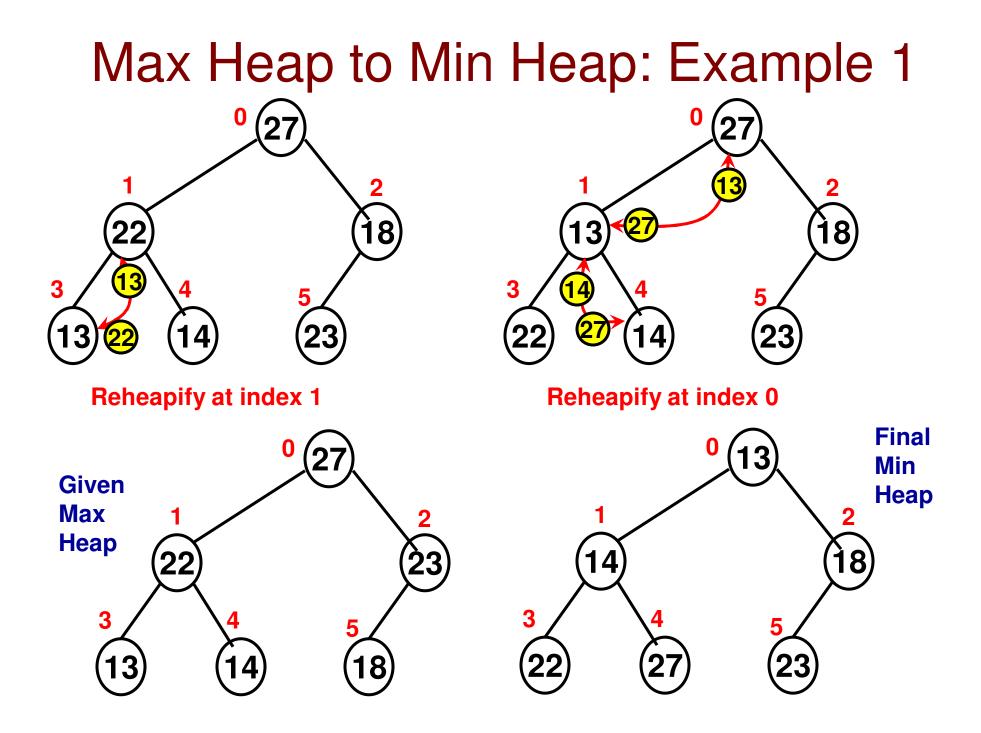
Max Heap to Min Heap (reheapify internal nodes): Example 1

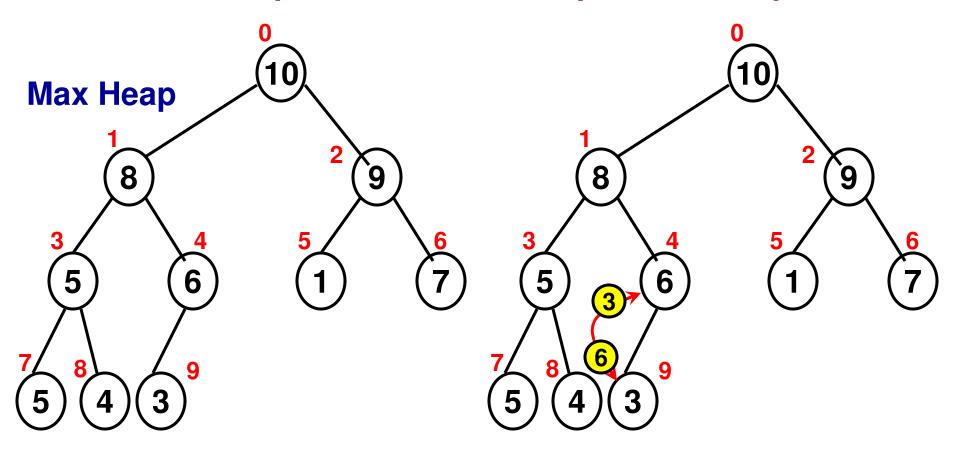
- Given a Max Heap, reheapify (starting from the last internal node) every internal node to make sure the data at the internal node is lower than or equal to the data of its immediate child nodes.
- This would take O(n) time (like the transformation of an arbitrary essentially complete binary tree to max heap or min heap).



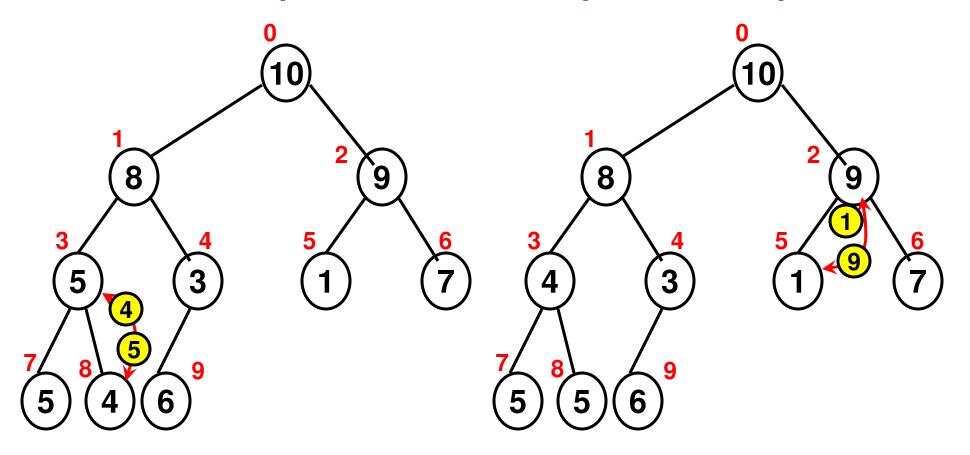
Given Max Heap

Reheapify at index 2



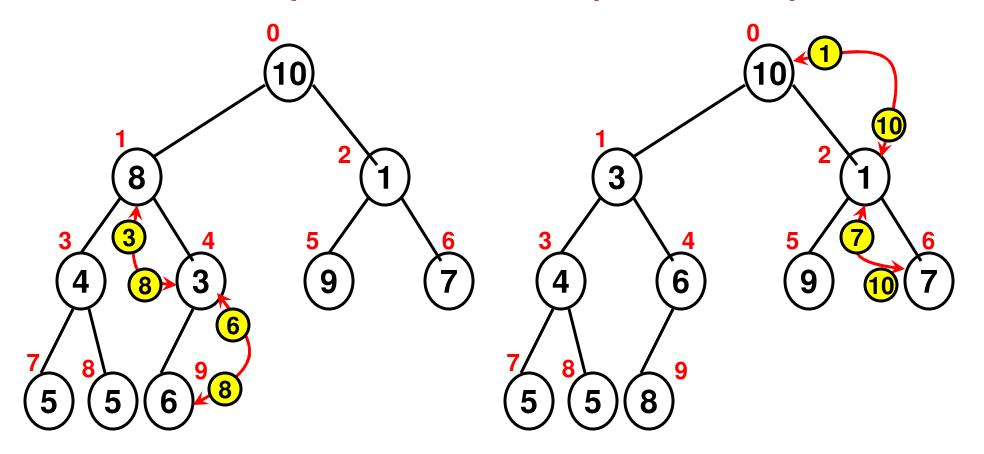


Reheapify at Index 4



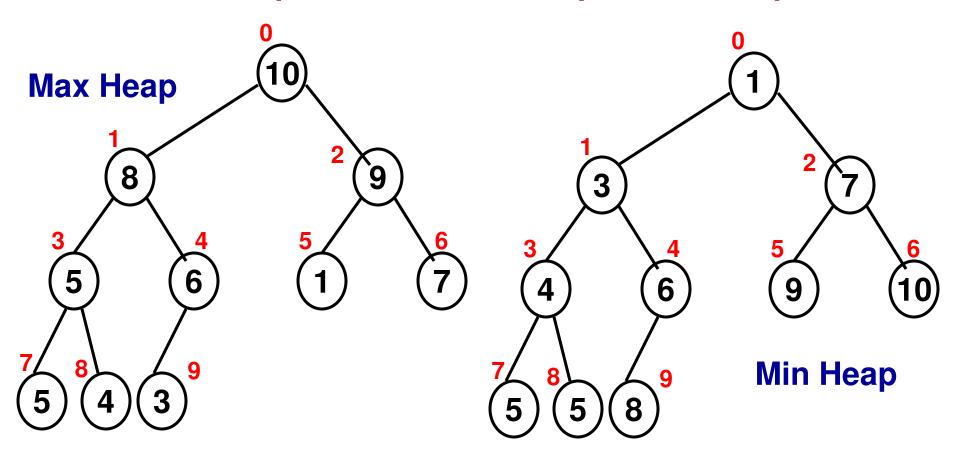
Reheapify at Index 3

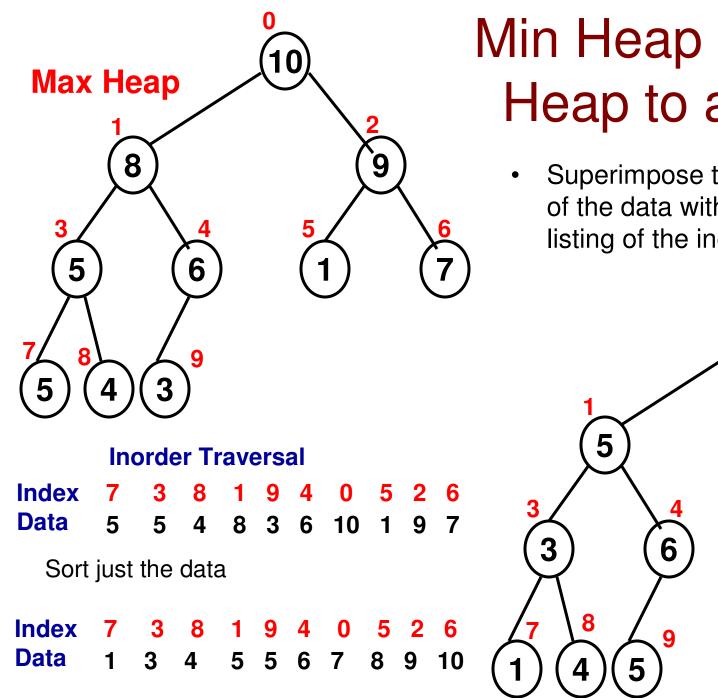
Reheapify at Index 2



Reheapify at Index 1

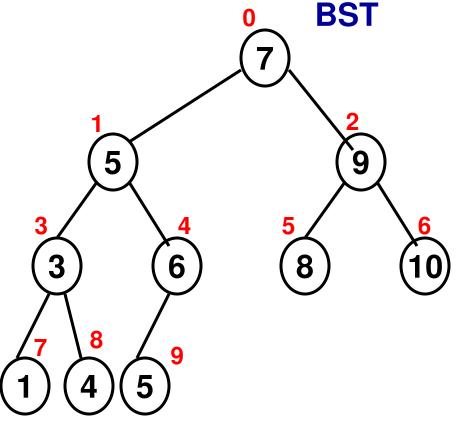
Reheapify at Index 0

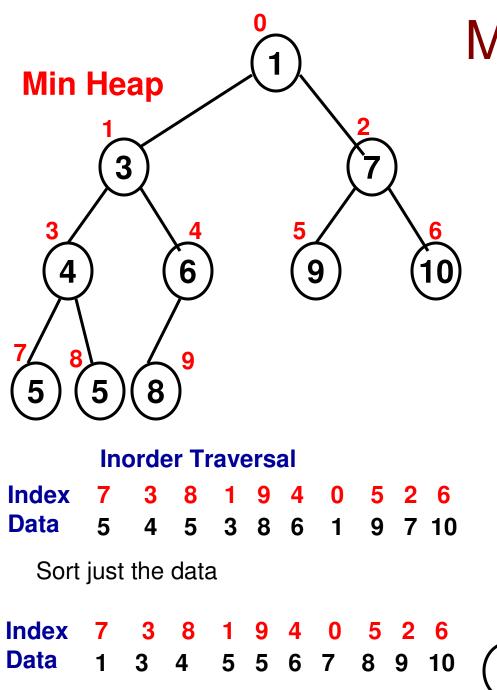




Min Heap or Max Heap to a BST

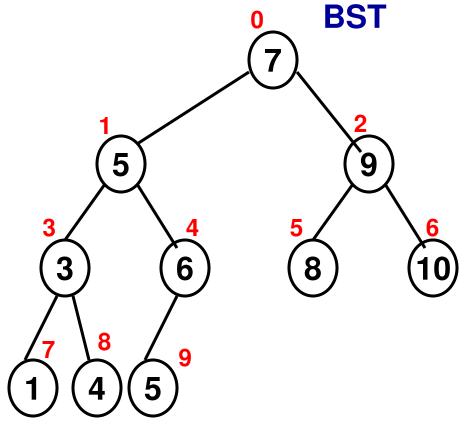
Superimpose the sorted order of the data with the inorder listing of the indices.





Min Heap or Max Heap to a BST

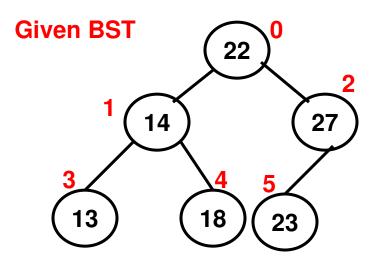
• Superimpose the sorted order of the data with the inorder listing of the indices.

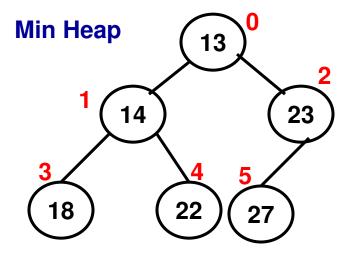


Binary Search Tree to a Min (Max) Heap

- BST to Min Heap
- Superimpose the inorder listing of the BST data with the Preorder listing of the indices of the BST
 - Details
 - <u>Step 1:</u> Perform an inorder traversal of the BST and create an array of the sorted integers of the data corresponding to the nodes in the BST.
 - <u>Step 2:</u> Perform a preorder traversal of the BST. While performing the preorder traversal, replace the data at each node visited with the values of the inorder array. The resulting binary tree is a min heap.
- Since the min heap is generated from a BST, the min heap has the following property (need not be observed when directly obtained from a max heap):
 - For any internal node: the data of all the nodes in the left sub tree are less than or equal to the data of all the nodes in the right sub tree.
- BST to Max Heap
- Superimpose the inorder listing of the BST data with the Postorder listing of the indices of the BST
 - Details
 - Do Step 1 as above (i.e., inorder traversal of the BST)
 - For Step 2, do a postorder traversal of the BST.

BST to Min Heap: Example 1





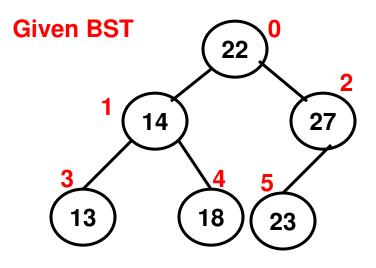
Inorder-based data							
13	14	18	22	23	27		

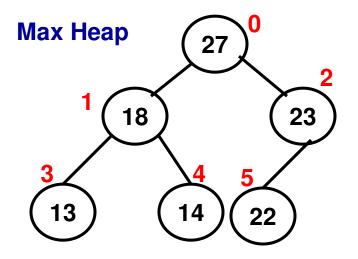
Preorder Listing of the node indices 0 1 3 4 2 5

Superimpose the inorder data with the Preorder listing of the indices

Mir	n hea	р			
0	1	3	4	2	5
13	14	18	22	23	27

BST to Max Heap: Example 1



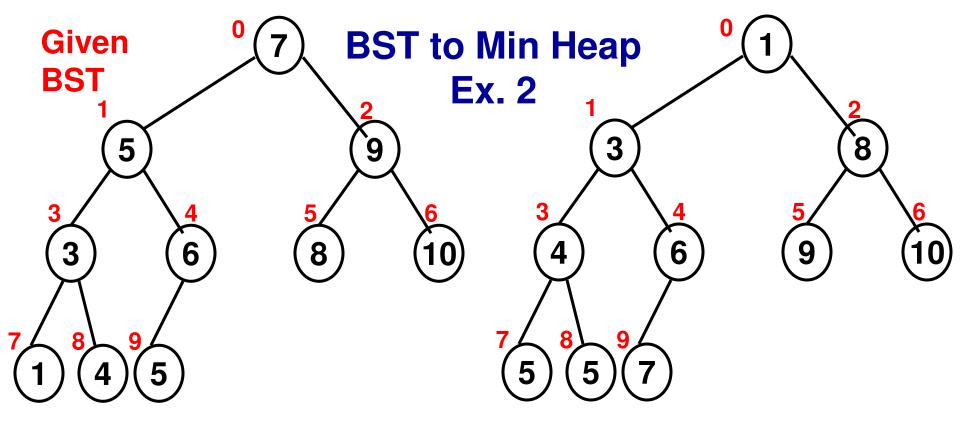


Inorder-based data							
13	14	18	22	23	27		

Postorder Listing of the node indices 3 4 1 5 2 0

Superimpose the inorder data with the Postorder listing of the indices

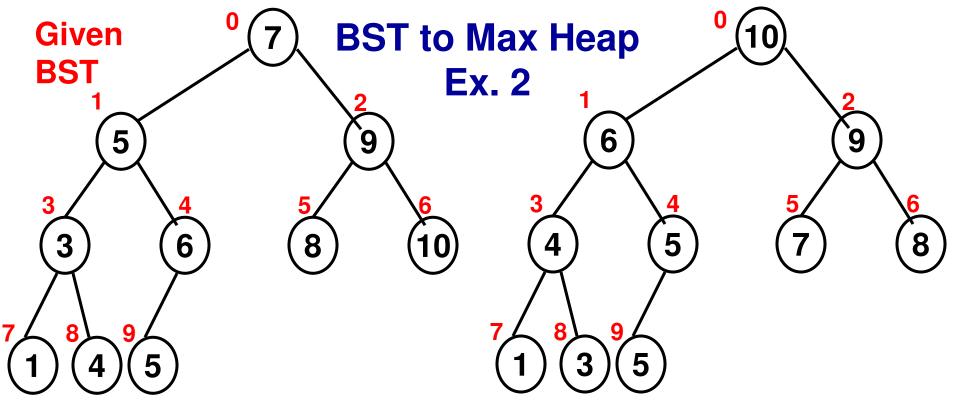
Ma	x hea	p			
3	4	1	5	2	0
13	14	18	22	23	27



Inorder-based data

1	3	4	5	5	6	7	8	9	10
_									
Pre	order	Listin	g of th	ne no	de ir	ndice	S		
0	1	3 .	7	8	4	9	2 5	6	
Min Heap									
0	1	3	7	8	4	9	2	5	6
1	3	4	5	5	6	7	8	9	10

Note that all the nodes in the left sub tree of an Internal node have data that is less than or equal to the data of the nodes in the right sub tree.



Inorder-based data

1	3	4	5	5	6	7	8	9	10
Po	stord	er Lis	ting of	the n	ode	indic	ces		
7	8	3	9 4	1	5	6	2 0		
Ма	x Hea	p							
7	8	3	9	4	1	5	6	2	0
1	3	4	5	5	6	7	8	9	10

Note that all the nodes in the left sub tree of an Internal node have data that is less than or equal to the data of the nodes in the right sub tree.