Heaps & Priority Queues in the C++ STL
2-3 Trees

CS 311 Data Structures and Algorithms

Lecture Slides

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Unit Overview
Tables & Priority Queues

Major Topics

- ✓ Introduction to Tables
- ✓ Priority Queues
- ✓ Binary Heap algorithms
- Heaps & Priority Queues in the C++ STL
- 2-3 Trees
- Other balanced search trees
- Hash Tables
- Prefix Trees
- Tables in various languages

Review
Introduction to Tables

	Sorted Array	Unsorted Array	Sorted Linked List	Unsorted Linked List	Binary Search Tree	Balanced (how?) Binary Search Tree
Retrieve	Logarithmic	Linear	Linear	Linear	Linear	Logarithmic
Insert	Linear	Constant (?)	Linear	Constant	Linear	Logarithmic
Delete	Linear	Linear	Linear	Linear	Linear	Logarithmic

Idea #1: Restricted Table
- Perhaps we can do better if we do not implement a Table in its full generality.

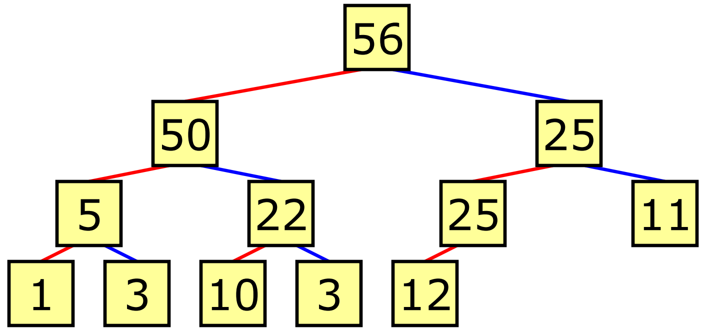
Idea #2: Keep a Tree Balanced
- Balanced Binary Search Trees look good, but how to keep them balanced efficiently?

Idea #3: "Magic Functions"
- Use an unsorted array of key-data pairs. Allow array items to be marked as "empty".
- Have a "magic function" that tells the index of an item.
- Retrieve/insert/delete in constant time? (Actually no, but this is still a worthwhile idea.)

We will look at what results from these ideas:
- From idea #1: Priority Queues
- From idea #2: Balanced search trees (2-3 Trees, Red-Black Trees, B-Trees, etc.)
- From idea #3: Hash Tables

Review
Binary Heap Algorithms [1/10]

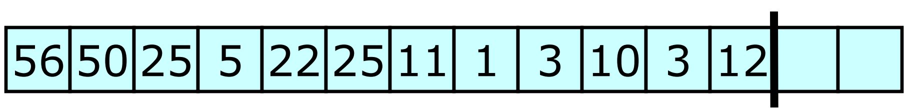
A **Binary Heap** (usually just **Heap**) is a complete Binary Tree in which *no* node has a data item that is less than the data item in either of its children.



Logical Structure

In practice, we often use "Heap" to refer to the array-based complete Binary Tree implementation.

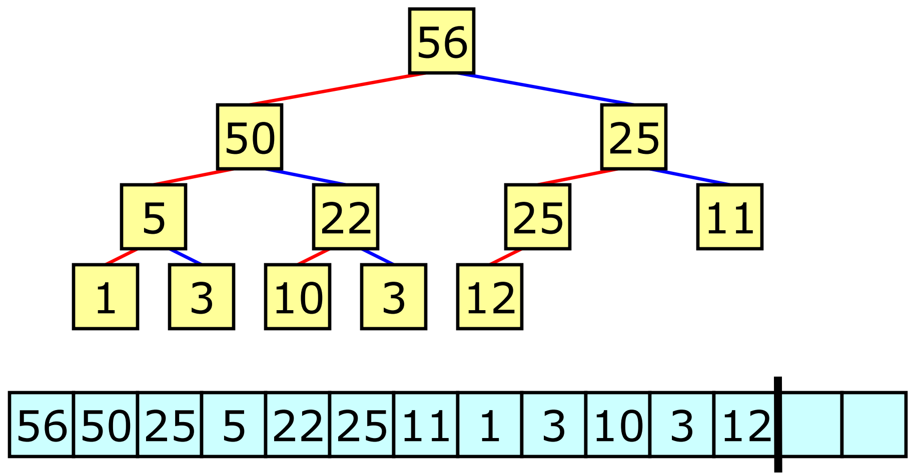
Physical Structure



Review
Binary Heap Algorithms [2/10]

We can use a Heap to implement a **Priority Queue**.

- Like a Table, but retrieve/delete only highest key.
  - Retrieve is called "getFront".
- Key is called "priority".
- Insert *any* key-data pair.



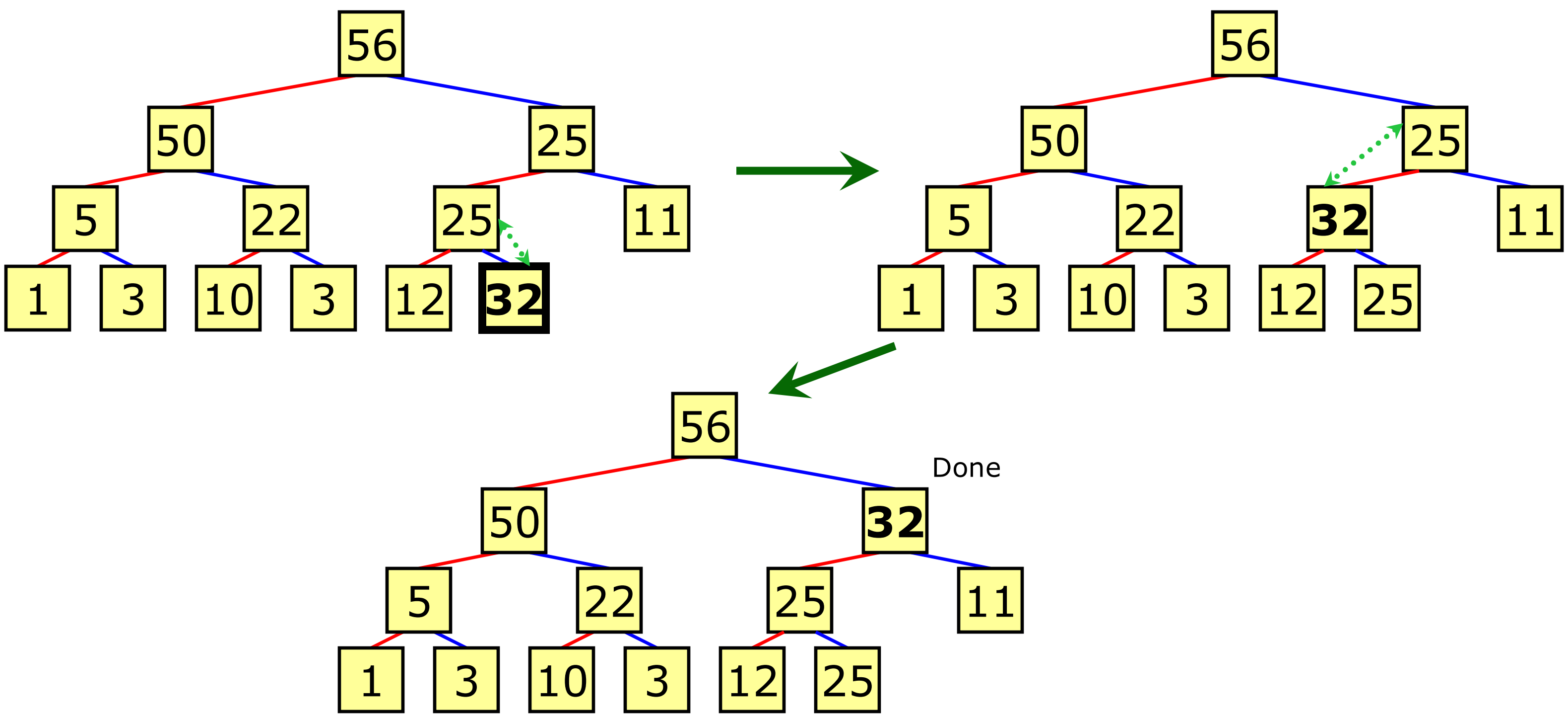
Algorithms for the Three Primary Operations

- GetFront
  - Get the root node.
  - Constant time.
- Insert
  - Add new node to end of Heap, "trickle up".
  - Logarithmic time if no reallocate-and-copy required.
    - Linear time if it may be required. Note: Heaps often do *not* manage their own memory, in which case the reallocation will not be part of the Heap operation.
- Delete
  - Swap first & last items, reduce size of Heap, "trickle down" root.
  - Logarithmic time. ← Faster than linear time!

Review
Binary Heap Algorithms [3/10]

To insert into a Heap, add a new node at the end. Then “trickle up”.

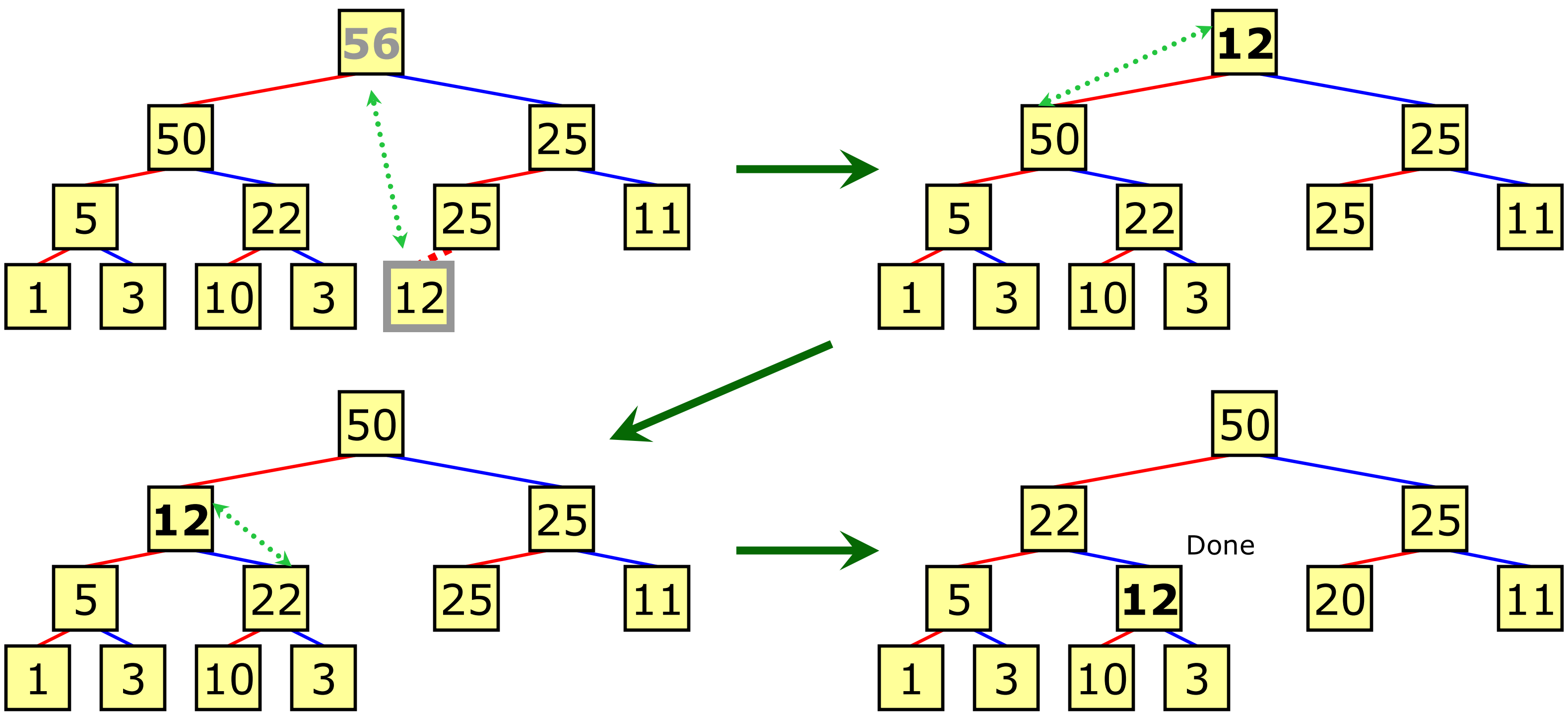
- If new value is greater than its parent, swap them. Repeat at new position.



Review
Binary Heap Algorithms [4/10]

To delete the root item from a Heap, swap root and last items, and reduce size of Heap by one. Then "trickle down" the new root item.

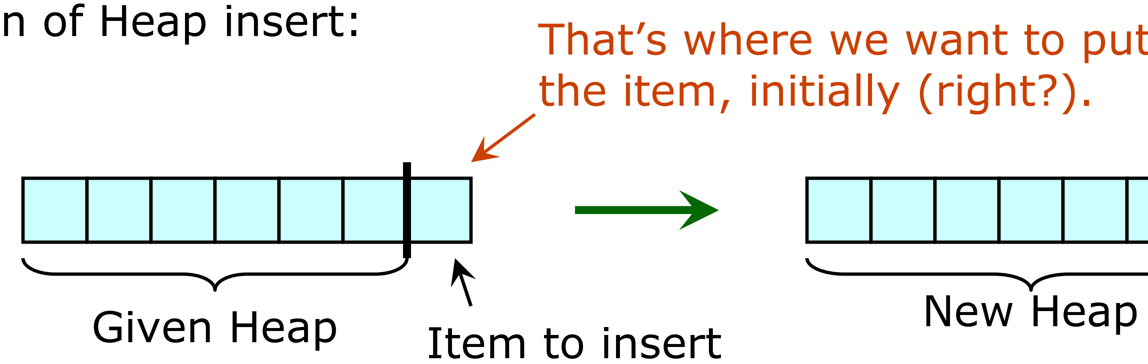
- If the root is ≥ all its children, stop.
- Otherwise, swap the root item with its **largest** child and recursively fix the proper subtree.



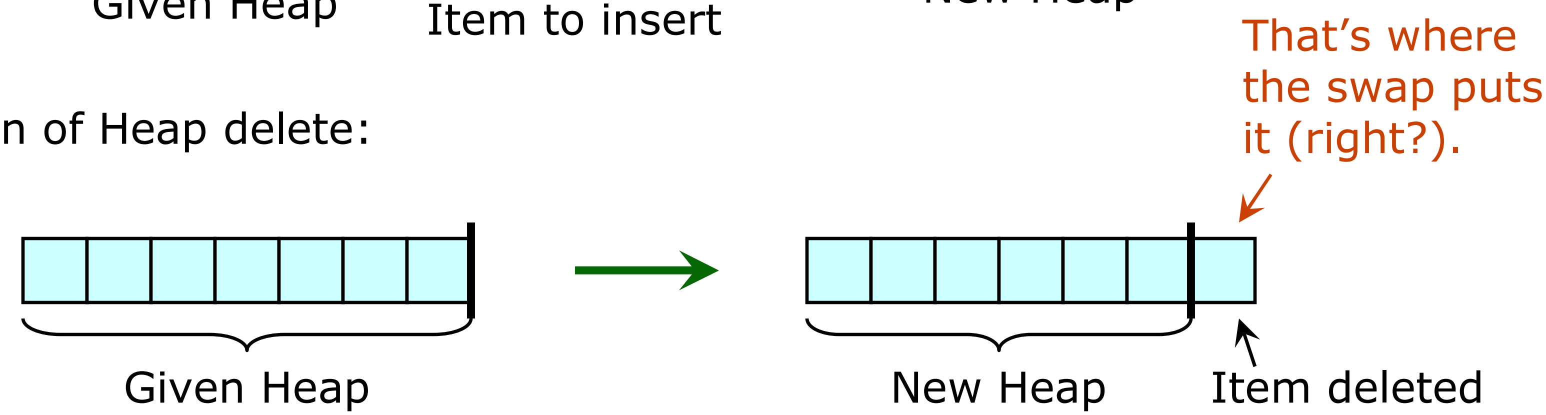
Review
Binary Heap Algorithms [5/10]

Heap insert and delete are usually given a random-access range. The item to insert or delete is last item of the range; the rest is a Heap.

- Action of Heap insert:



- Action of Heap delete:



Note that Heap algorithms can do **all** their work using **swap**.

- This usually allows for both speed and safety.

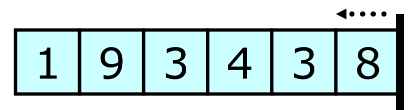
Review
Binary Heap Algorithms [6/10]

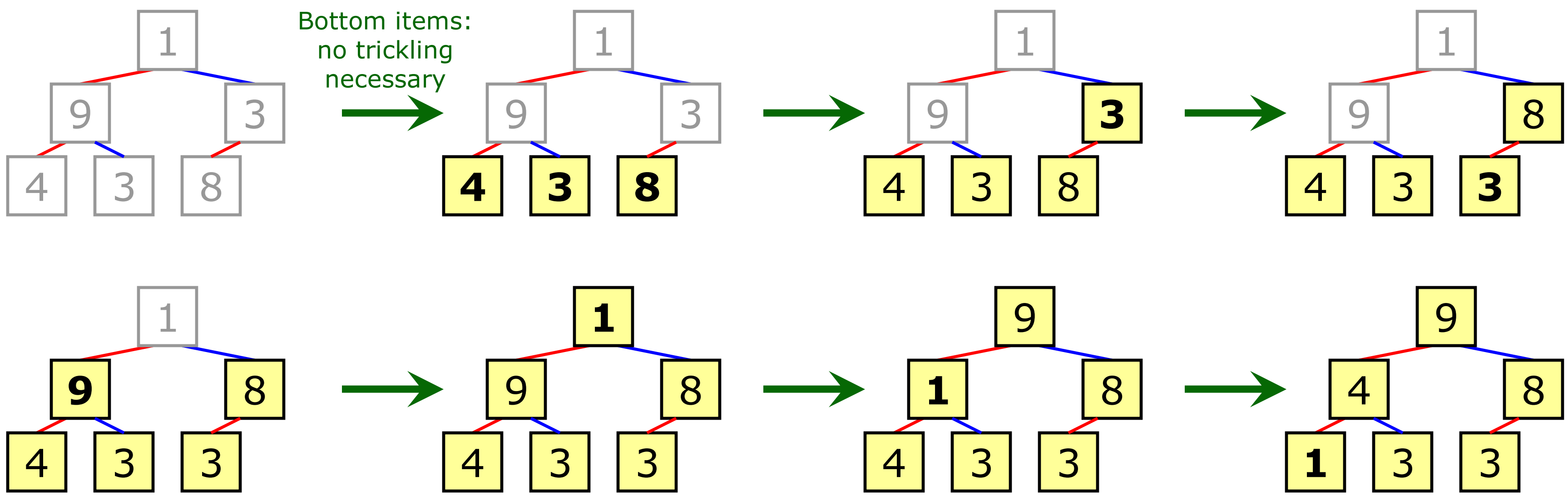
To turn a random-access range (array?) into a Heap, we *could* do *n*–1 Heap inserts.

- Each insert operation is *O*(log *n*), and so making a Heap in this way is *O*(*n* log *n*).

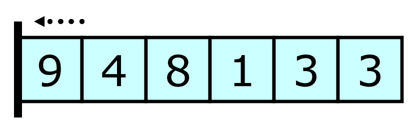
However, we can make a Heap **faster** than this.

- Place each item into a partially-made Heap, in **backwards order**.
- Trickle each item *down* through its descendants.
  - For most items, there are not very many of these.





This Heap “make” method is linear time!



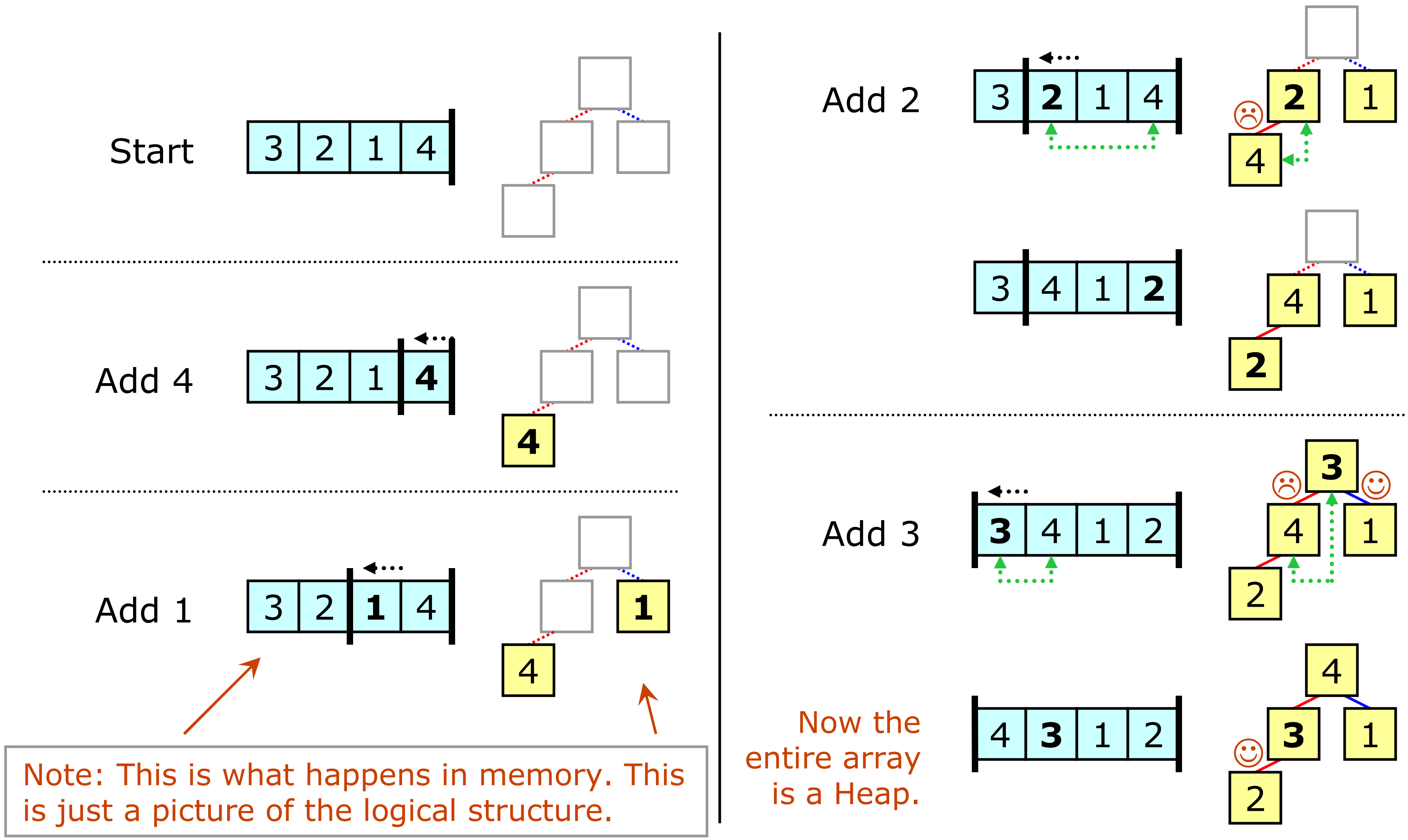
Review
Binary Heap Algorithms [7/10]

Our last sorting algorithm is **Heap Sort**.

- This is a sort that uses Heap algorithms.
- We can think of it as using a Priority Queue, where the priority of an item is its value — except that the algorithm is in-place, using no separate data structure.
- Procedure: Make a Heap, then delete all items, using the delete procedure that places the deleted item in the top spot.
- We do a **make** operation, which is $O(n)$, and n getFront/delete operations, each of which is $O(\log n)$.
- Total: $O(n \log n)$.

Review
Binary Heap Algorithms [8/10]

Below: Heap make operation. Next slide: Heap deletion phase.

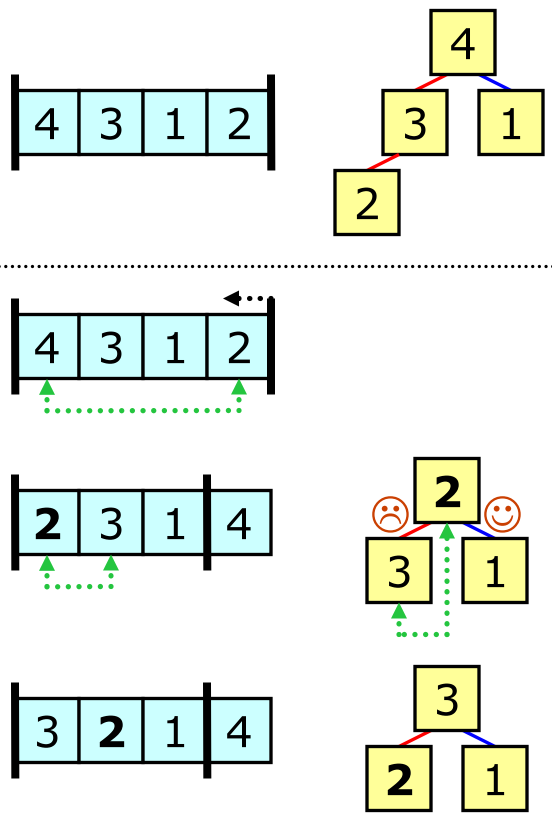


Review
Binary Heap Algorithms [9/10]

Heap deletion phase:

Start

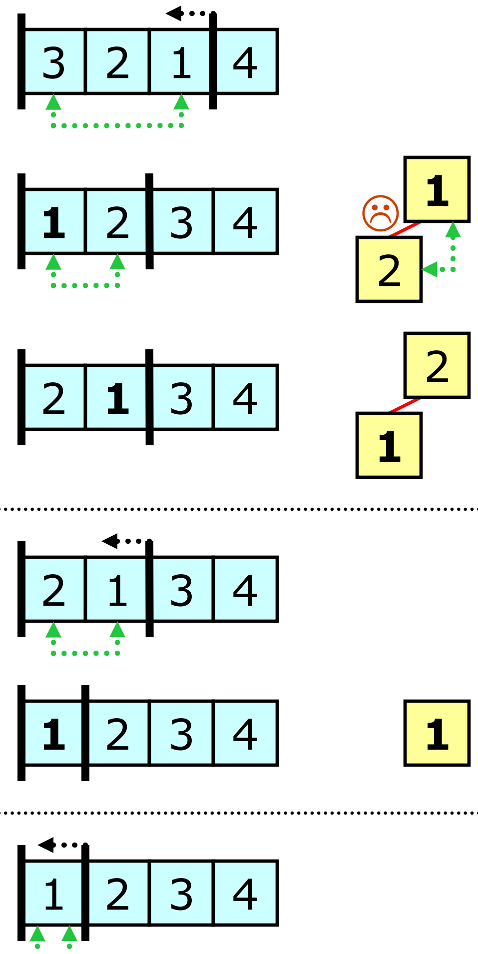
Delete 4



Delete 3

Delete 2

Delete 1
(does nothing;
can be skipped)



Now the array is sorted.

Review
Binary Heap Algorithms [10/10]

Efficiency ☺
- Heap Sort is $O(n \log n)$.

Requirements on Data ☹
- Heap Sort requires random-access data.

Space Usage ☺
- Heap Sort is in-place.

Stability ☹
- Heap Sort is not stable.

Performance on Nearly Sorted Data 😐
- Heap Sort is not significantly faster or slower for nearly sorted data.

We have seen these together before (Iterative Merge Sort on a Linked List), but never for an array.

Notes
- Heap Sort can be generalized to handle sequences that are modified (in certain ways) in the middle of sorting.
- Recall that Heap Sort is used by Introsort, when the recursion depth of Quicksort exceeds the maximum allowed.

Heaps & Priority Queues in the C++ STL
Heap Algorithms

The C++ STL includes several Heap algorithms.

- These operate on ranges specified by pairs of random-access iterators.
  - **Any** random-access range can be a Heap: array, vector, deque, part of these, etc.
- An STL Heap is a Maxheap with an optional client-specified comparison.
- Heap algorithms are used by STL Priority Queues (**`std::priority_queue`**).

Example: **`std::push_heap`** (in **`<algorithm>`**) inserts into an existing Heap.

- Called as **`std::push_heap(`***first*, *last***`)`**.
- Assumes [*first*, *last*) is nonempty, and [*first*, *last***`-1`**) is already a Heap.
- Inserts **`*(`***last***`-1)`** into the Heap.

Similarly:

- **`std::pop_heap`**
  - Heap delete operation. Puts the deleted element in **`*(`***last***`-1)`**.
- **`std::make_heap`**
  - Make a range into a Heap.
- **`std::sort_heap`**
  - Is given a Heap. Does a bunch of **`pop_heap`** calls.
  - Calling **`make_heap`** and then **`sort_heap`** does Heap Sort.
- **`std::is_heap`**
  - Tests whether a range is a Heap.

Heaps & Priority Queues in the C++ STL
`std::priority_queue` — Introduction

The STL has a Priority Queue: **`std::priority_queue`**, in **`<queue>`**.

- STL documentation does not call **`std::priority_queue`** a "container", but rather a "container adapter".
- This is because **`std::priority_queue`** is explicitly a wrapper around some other container.

You get to pick what that container is.

- You say "**`std::priority_queue<T,`** *container***`<T> >`**".
  - "**`T`**" is the value type.
  - "*container*" can be **`std::vector`** or **`std::deque`**.
  - "*container***`<T>`**" can be any standard-conforming **random-access** sequence container.
- *container* defaults to **`std::vector`**.
  - You can say just "**`std::priority_queue<T>`**" to get "**`std::priority_queue<T, std::vector<T> >`**".

Heaps & Priority Queues in the C++ STL
std::priority_queue — Members

The member function names used by **std::priority_queue** are the same as those used by **std::stack**.

- Not those used by **std::queue**.
- Thus, **std::priority_queue** has "**top**", not "**front**".

Given a variable **pq** of type **std::priority_queue<T>**, you can do:

- **pq.top()**
- **pq.push(***item***)**
  - "*item*" is some value of type **T**.
- **pq.pop()**
- **pq.empty()**
- **pq.size()**

Heaps & Priority Queues in the C++ STL
`std::priority_queue` — Comparison

How do we specify an item's priority?

- We really don't need to know an item's priority; we only need to know, given two items, which has the **higher** priority.
- Thus, we use a comparison, which defaults to **`operator<`**.
- A third, optional template parameter is a "comparison object":

```
std::priority_queue<T, std::vector<T>, compare>
```

- Comparison objects work the same as those passed to STL sorting algorithms (**`std::sort`**, etc.) and STL Heap algorithms.
- So, for example, a priority queue of **`int`**s whose highest priority items are those with the lowest value, would have the following type:

```
std::priority_queue<int, std::vector<int>, std::greater<int>()>
```

Overview of Advanced Table Implementations

We will cover the following advanced Table implementations.

- Balanced Search Trees
  - Binary Search Trees are hard to keep balanced, so to make things easier we allow more than 2 children:
    - **2-3 Tree**
      - Up to 3 children
    - **2-3-4 Tree**
      - Up to 4 children
    - **Red-Black Tree**
      - Binary-tree representation of a 2-3-4 tree
  - Or back up and try a balanced Binary Tree again:
    - **AVL Tree**
- Alternatively, forget about trees entirely:
  - **Hash Tables**
- Finally, "the Radix Sort of Table implementations":
  - **Prefix Tree**

2-3 Trees
Introduction & Definition [1/3]

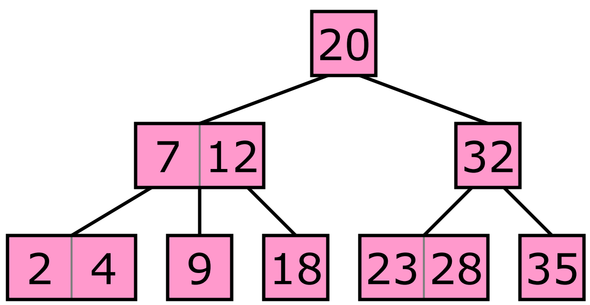
Obviously (?) a Binary Search Tree is a useful idea. The problem is keeping it balanced.

- Or at least keeping the height small.

It turns out that small height is much easier to maintain if we allow a node to have more than 2 children.

But if we do this, how do we maintain the “search tree” concept?

- We generalize the idea of an inorder traversal.
- For each pair of consecutive subtrees, a node has one data item lying between the values in these subtrees.



2-3 Trees
Introduction & Definition [2/3]

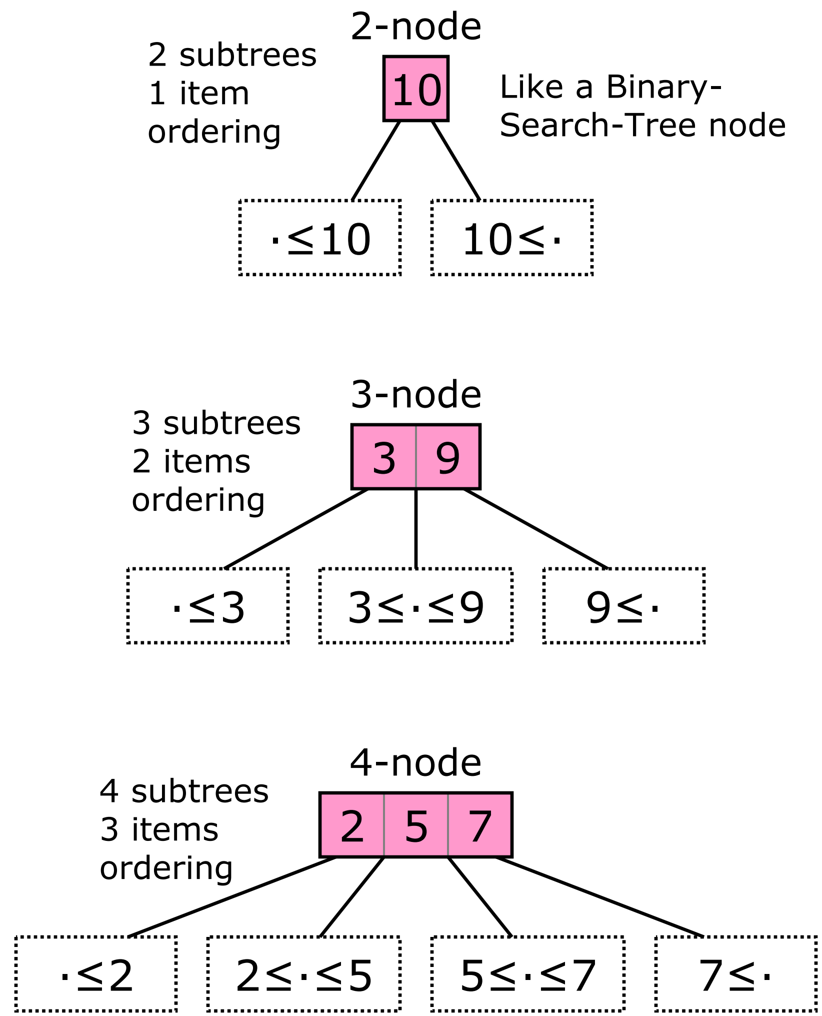
A Binary-Search-Tree style node is a **2-node**.

- This is a node with 2 subtrees and 1 data item.
- The item's value lies between the values in the two subtrees.

In a "2-3 Tree" we also allow a node to be a **3-node**.

- This is a node with 3 subtrees and 2 data items.
- Each of the 2 data items has a value that lies between the values in the corresponding pair of consecutive subtrees.

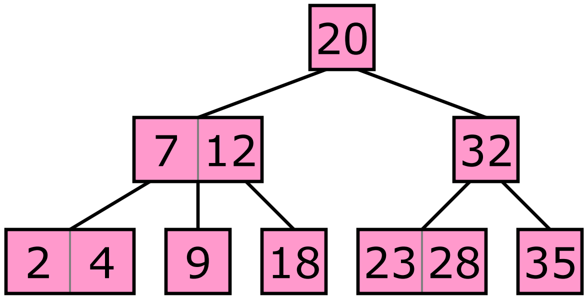
Later, we will look at "2-3-4 trees", which can also have **4-nodes**.



2-3 Trees
Introduction & Definition [3/3]

A **2-3 Search Tree** (generally we just say **2-3 Tree**) is a tree with the following properties.

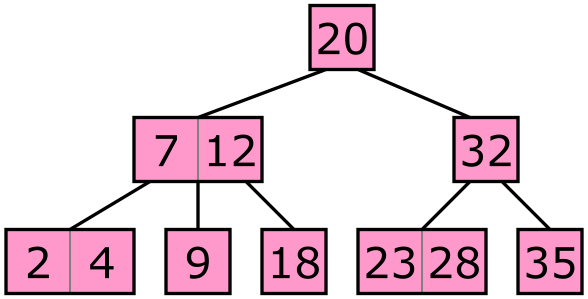
- All nodes contain either 1 or 2 data items.
  - If 2 data items, then the first is ≤ the second.
- All leaves are at the same level.
- All non-leaves are either *2-nodes* or *3-nodes*.
  - They must have the associated order properties.



2-3 Trees
Operations — Traverse & Retrieve

How do we **traverse** a 2-3 Tree?

- We generalize the procedure for doing an **inorder traversal** of a Binary Search Tree.
  - For each leaf, go through the items in it.
  - For each non-leaf 2-node:
    - Traverse subtree 1.
    - Do item.
    - Traverse subtree 2.
  - For each non-leaf 3-node:
    - Traverse subtree 1.
    - Do item 1.
    - Traverse subtree 2.
    - Do item 2.
    - Traverse subtree 3.



- This procedure lists all the items in sorted order.

How do we **retrieve** by key in a 2-3 Tree?

- Start at the root and proceed downward, making comparisons, just as in a Binary Search Tree.
- 3-nodes make the procedure slightly more complex.

2-3 Trees
Operations — Insert & Delete

How do we **insert** & **delete** in a 2-3 Tree?

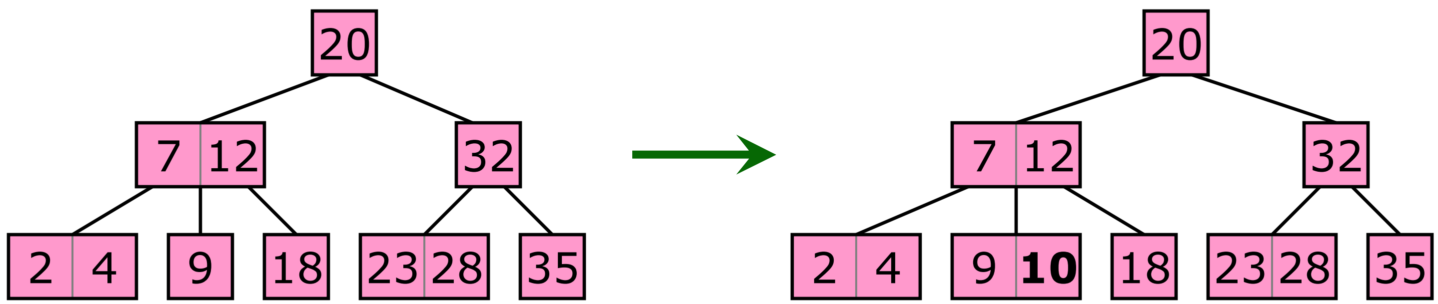
- These are the tough problems.
- It turns out that both have efficient [$O(\log n)$] algorithms, which is why we like 2-3 Trees.

2-3 Trees
Operations — Insert [1/4]

Basic ideas behind the 2-3 Tree **insert** algorithm:

- Allow nodes to expand when legal.
- If a node gets too big (3 items), split the subtree rooted at that node and propagate the **middle** item upward.
- If we end up splitting the entire tree, then we create a new root node, and all the leaves advance one level simultaneously.

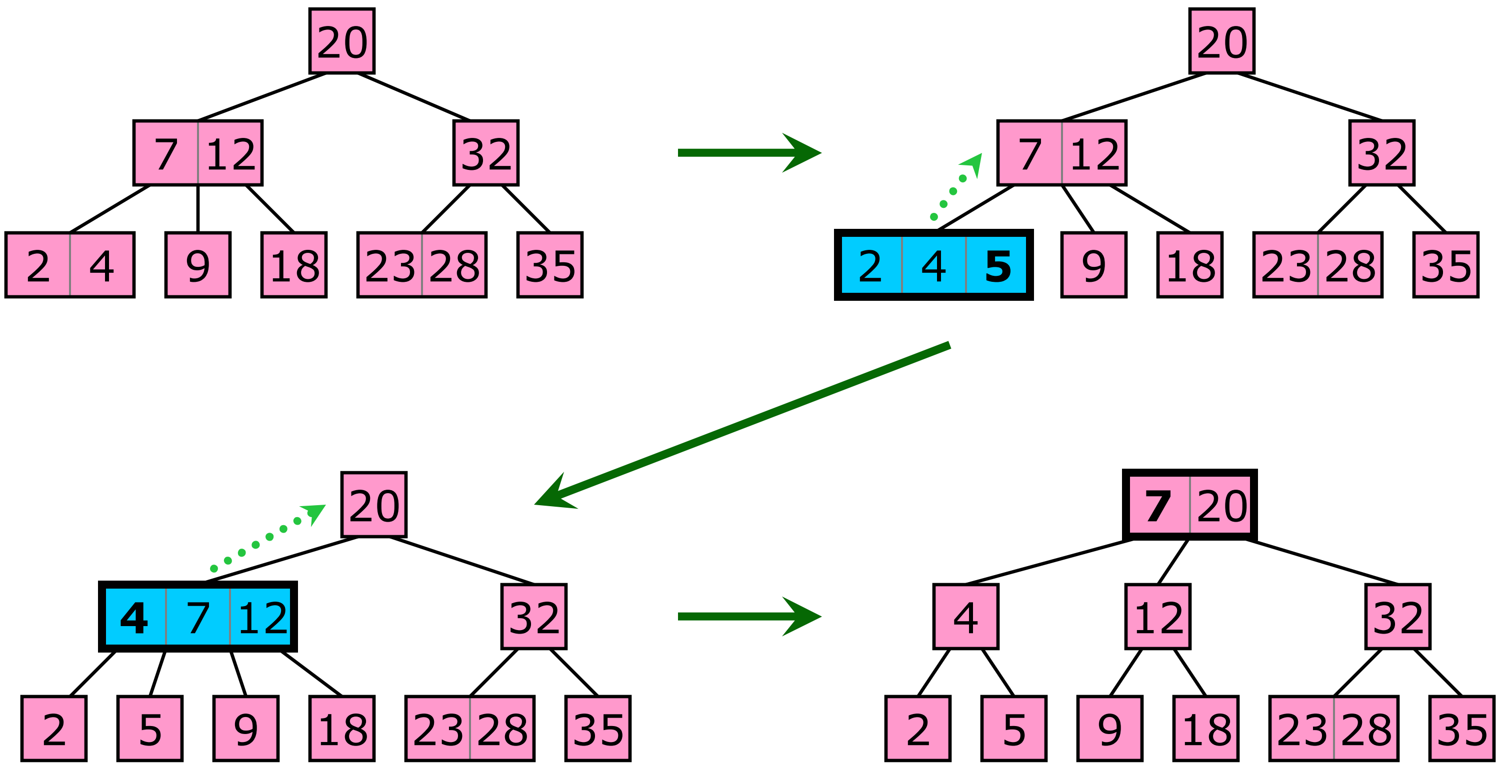
Example 1: Insert 10.



2-3 Trees
Operations — Insert [2/4]

Example 2: Insert 5.

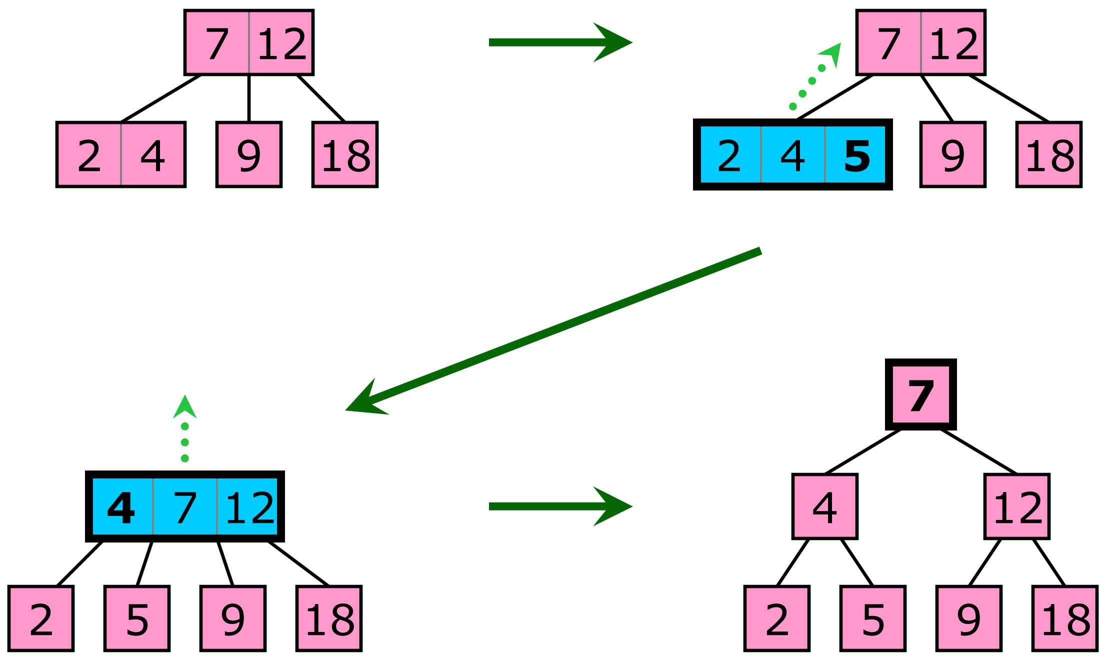
- Over-full nodes are blue.



2-3 Trees
Operations — Insert [3/4]

Example 3: Insert 5.

- Here we see how a 2-3 Tree increases in height.



2-3 Trees
Operations — Insert [4/4]

In the middle of a 2-3 Tree insertion, overfull nodes are always leaves or 4-nodes.

- (Of course 4-nodes are illegal.)
- This is why we can always split at the middle item.

2-3 Tree insertion can be thought of recursively.

- Insert into a node.
  - This node will be a leaf the first time.
- If the node is overfull, split and move the middle item up.
  - We split the subtree rooted at the node. If the node is a leaf, this is easy. If the node is not a leaf, this is more work, but not hard to understand.
- Moving an item up is inserting into the parent.
  - So we recurse.
  - Or we make increase the height (by making a new root), and we are done.

2-3 Trees
TO BE CONTINUED …

2-3 Trees will be continued next time.