

# Fibonacci Heaps

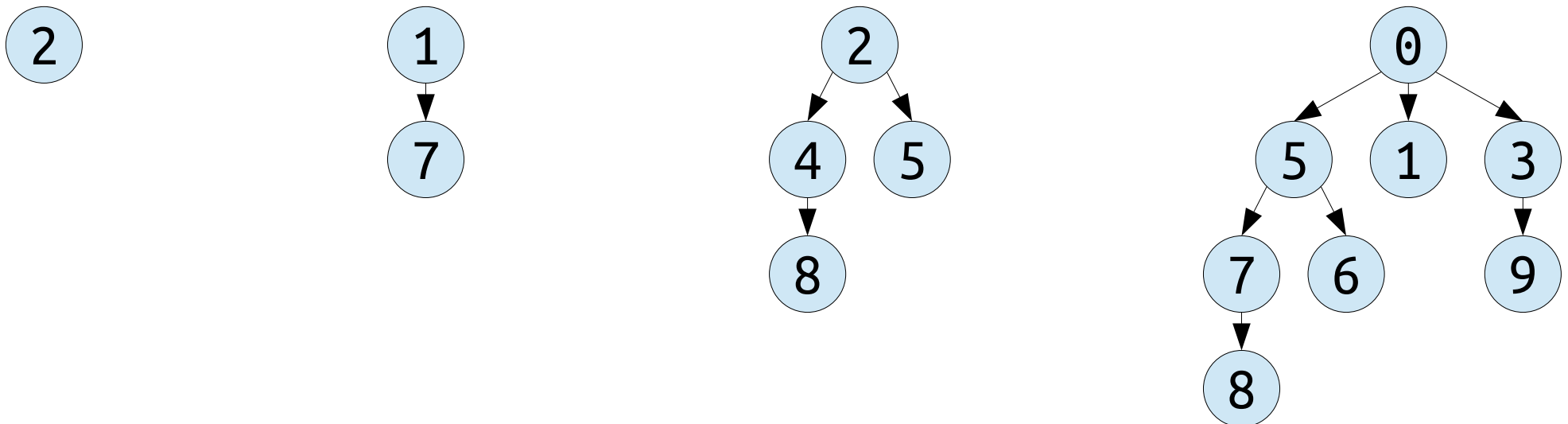
# Outline for Today

- ***Recap from Last Time***
  - Quick refresher on binomial heaps and lazy binomial heaps.
- ***The Need for decrease-key***
  - An important operation in many graph algorithms.
- ***Fibonacci Heaps***
  - A data structure efficiently supporting ***decrease-key***.
- ***Representational Issues***
  - Some of the challenges in Fibonacci heaps.

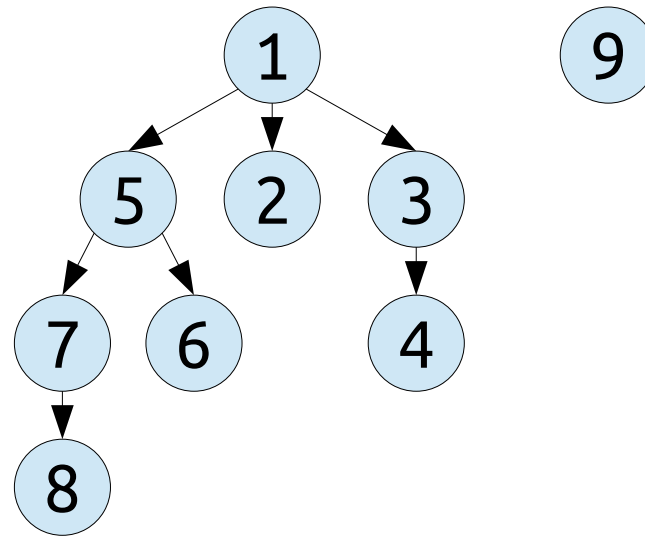
Recap from Last Time

# (Lazy) Binomial Heaps

- Last time, we covered the *binomial heap* and a variant called the *lazy binomial heap*.
- These are priority queue structures designed to support efficient *melding*.
- Elements are stored in a collection of *binomial trees*.



## Eager Binomial Heap

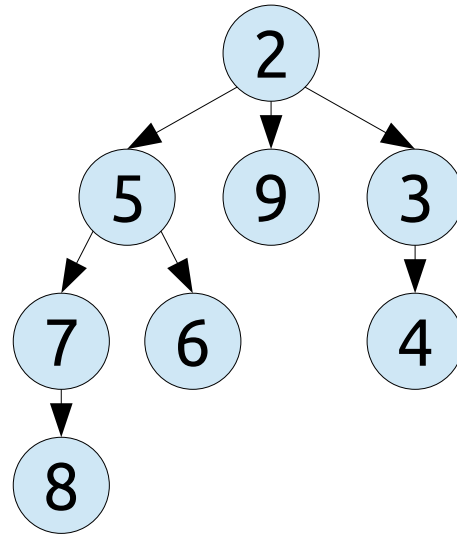


## Lazy Binomial Heap



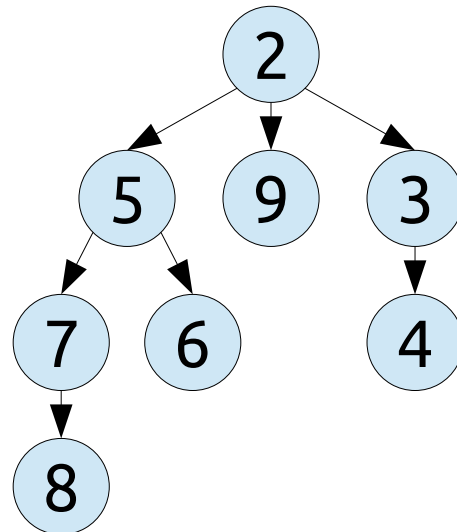
Draw what happens if we *enqueue* the numbers 1, 2, 3, 4, 5, 6, 7, 8, and 9 into each heap.

## *Eager Binomial Heap*



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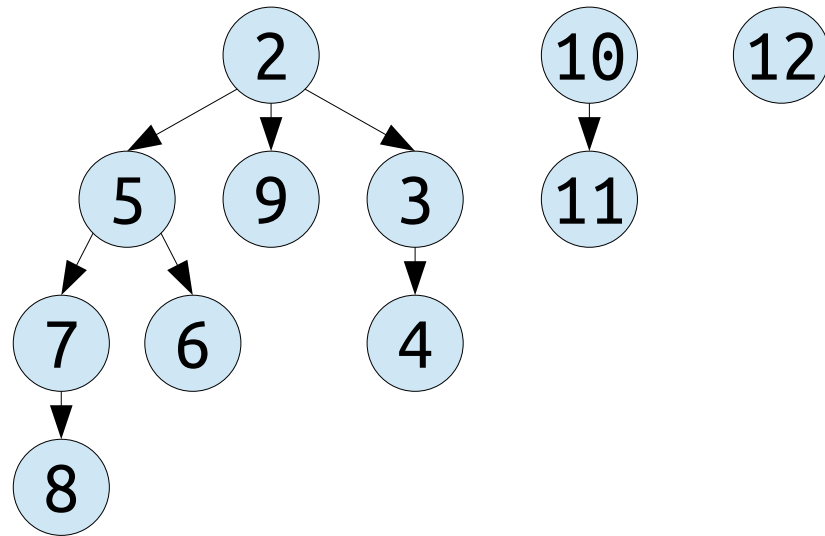
## *Lazy Binomial Heap*



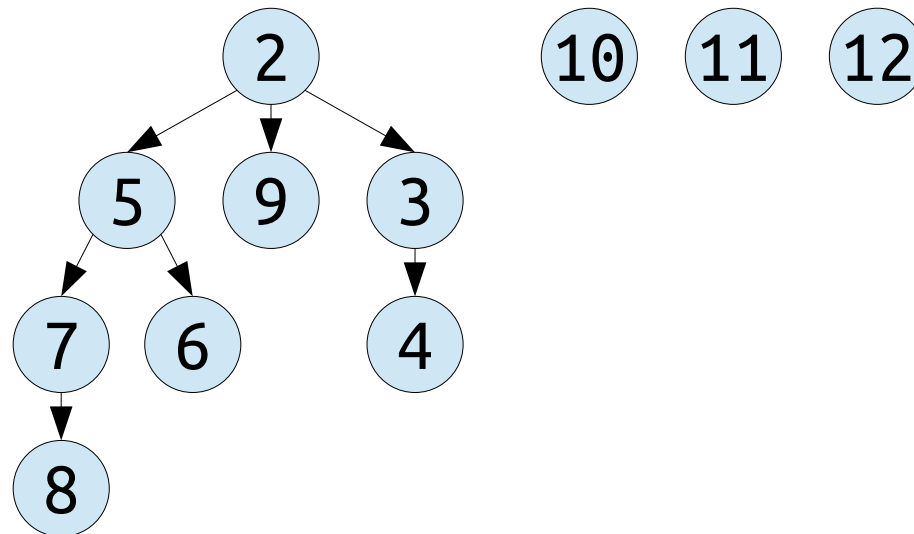
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Draw what happens after performing an ***extract-min*** in each binomial heap.

## Eager Binomial Heap

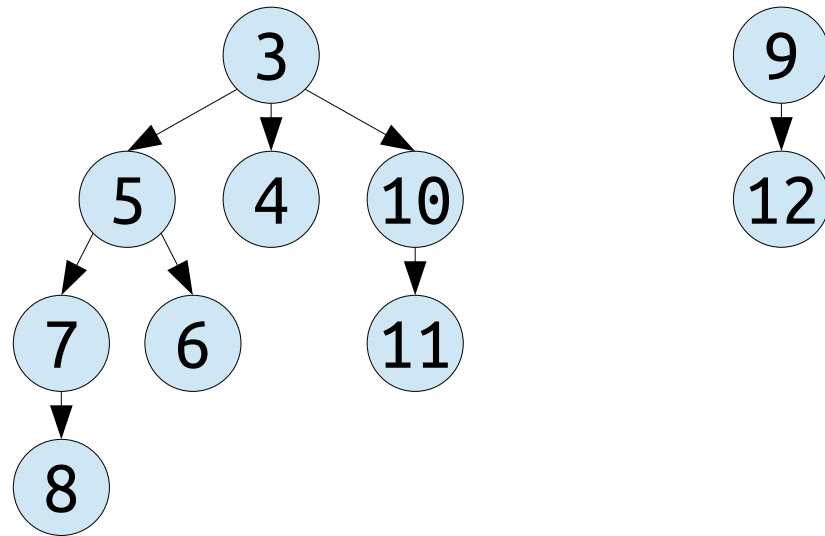


## Lazy Binomial Heap



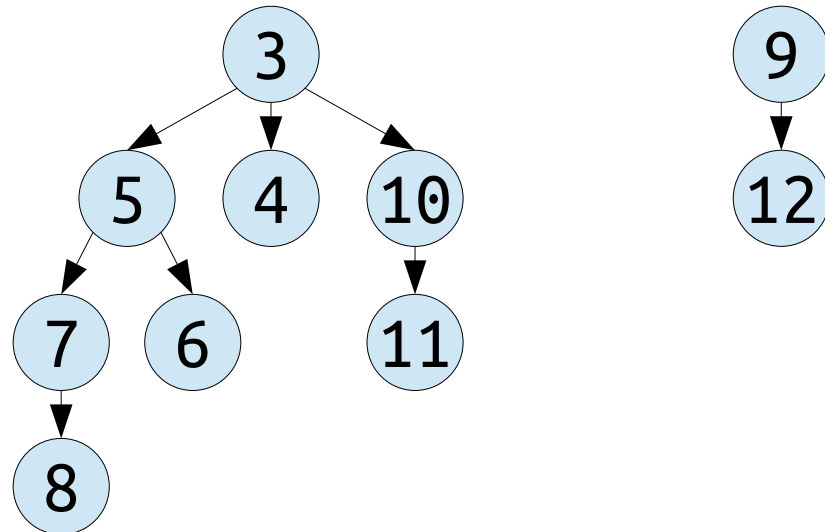
Let's *enqueue* 10, 11, and 12 into both heaps.

## *Eager Binomial Heap*



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## *Lazy Binomial Heap*



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Draw what happens after we do a ***extract-min*** from both heaps.



# Operation Costs

- Eager Binomial Heap:
  - **enqueue**:  $O(\log n)$
  - **meld**:  $O(\log n)$
  - **find-min**:  $O(\log n)$
  - **extract-min**:  $O(\log n)$
- Lazy Binomial Heap:
  - **enqueue**:  $O(1)$
  - **meld**:  $O(1)$
  - **find-min**:  $O(1)$
  - **extract-min**:  $O(\log n)^*$
  - *\*amortized*

**Intuition:** Each **extract-min** has to do a bunch of cleanup for the earlier **enqueue** operations, but then leaves us with few trees.

New Stuff!

The Need for *decrease-key*

# The *decrease-key* Operation

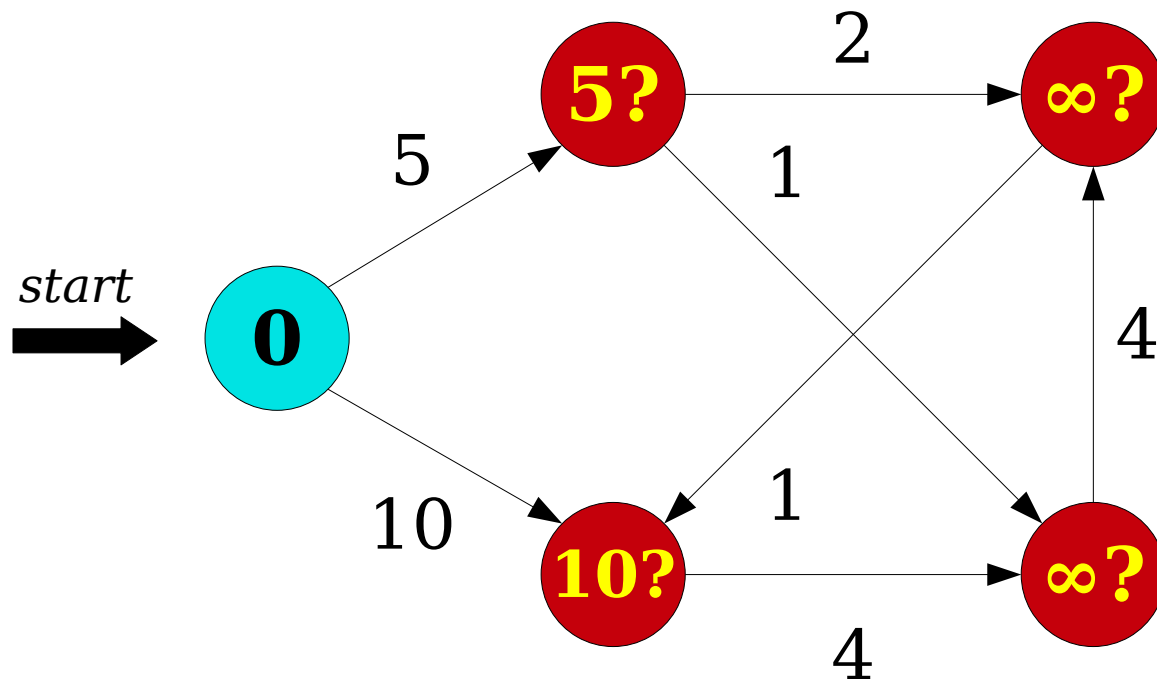
- Some priority queues support the operation *decrease-key*( $v, k$ ), which works as follows:

*Given a pointer to an element  $v$ , lower its key (priority) to  $k$ . It is assumed that  $k$  is less than the current priority of  $v$ .*

- This operation is crucial in efficient implementations of Dijkstra's algorithm and Prim's MST algorithm.

# Dijkstra and *decrease-key*

- Dijkstra's algorithm can be implemented with a priority queue using
  - $O(n)$  total *enqueues*,
  - $O(n)$  total *extract-mins*, and
  - $O(m)$  total *decrease-keys*.



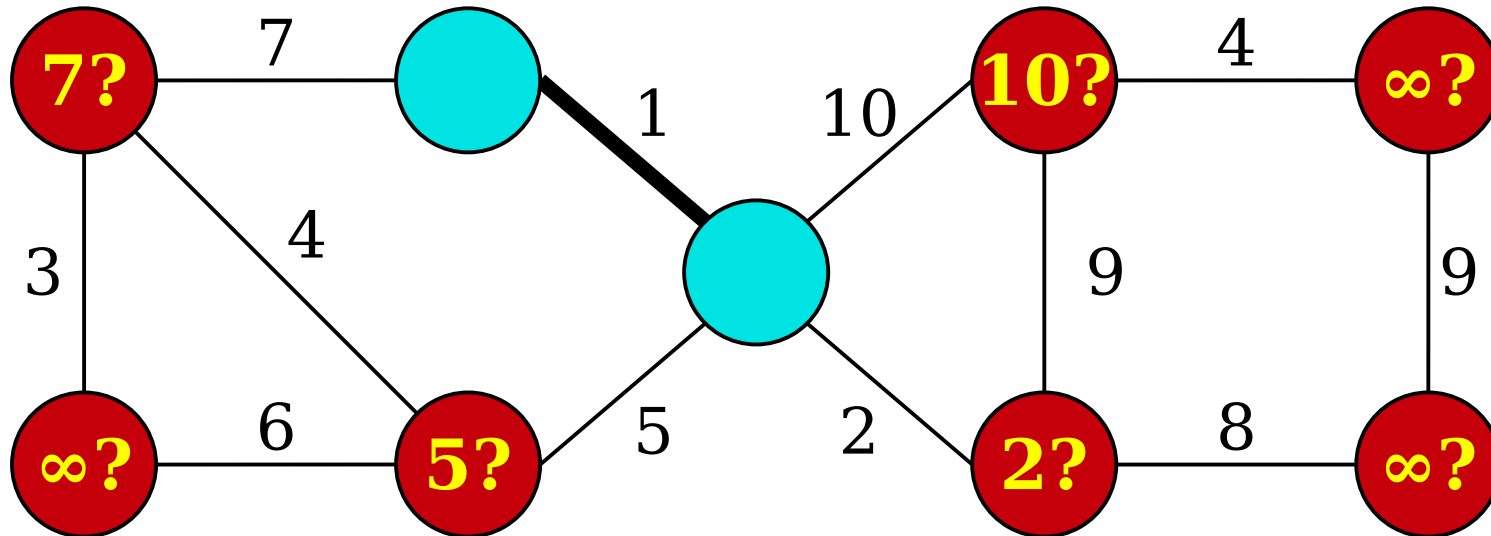
# Dijkstra and *decrease-key*

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  - $O(n)$  total *enqueues*,
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- Dijkstra's algorithm runtime is

$$O(n T_{\text{enq}} + n T_{\text{ext}} + m T_{\text{dec}})$$

# Prim and *decrease-key*

- Prim's algorithm can be implemented with a priority queue using
  - $O(n)$  total *enqueues*,
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  - $O(m)$  total *decrease-keys*.



# Prim and *decrease-key*

- Prim's algorithm can be implemented with a priority queue using
  - $O(n)$  total *enqueues*,
  - $O(n)$  total *extract-mins*, and
  - $O(m)$  total *decrease-keys*.
- Prim's algorithm runtime is

$$O(n T_{\text{enq}} + n T_{\text{ext}} + m T_{\text{dec}})$$



# Standard Approaches

- In a binary heap, *enqueue*, *extract-min*, and *decrease-key* can be made to work in time  $O(\log n)$  time each.
- Cost of Dijkstra's / Prim's algorithm:  
$$O(n T_{\text{enq}} + n T_{\text{ext}} + m T_{\text{dec}})$$
$$= O(n \log n + n \log n + m \log n)$$
$$= \mathbf{O(m \log n)}$$

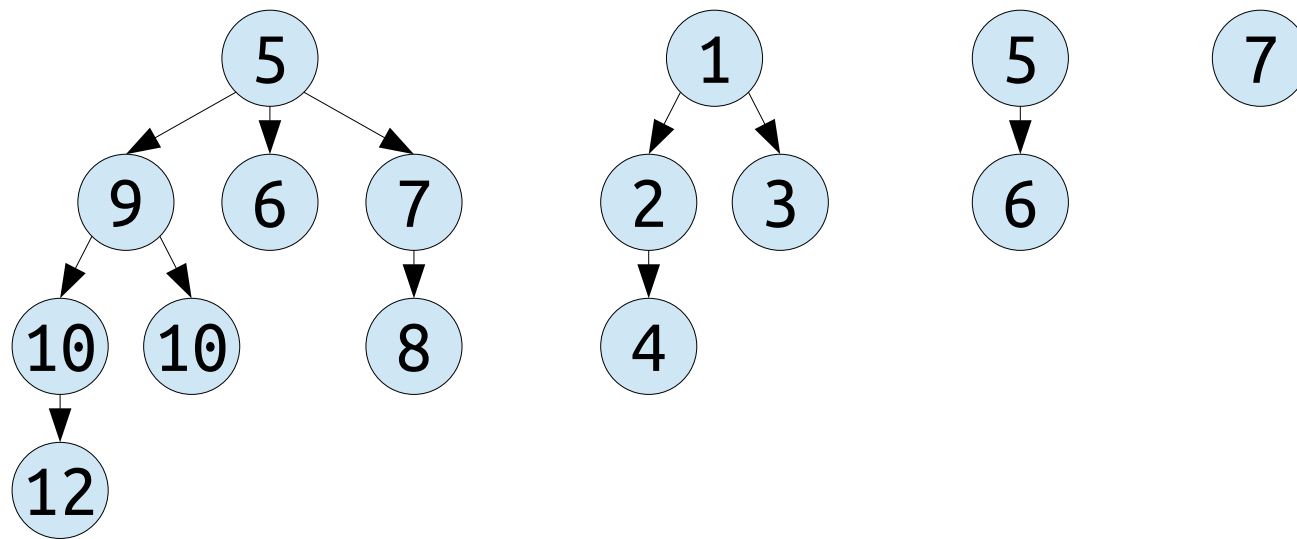
# Standard Approaches

- In a lazy binomial heap, *enqueue* takes amortized time  $O(1)$ , and *extract-min* and *decrease-key* take amortized time  $O(\log n)$ .
- Cost of Dijkstra's / Prim's algorithm:  
$$O(n T_{\text{enq}} + n T_{\text{ext}} + m T_{\text{dec}})$$
$$= O(n + n \log n + m \log n)$$
$$= \mathbf{O(m \log n)}$$

# Where We're Going

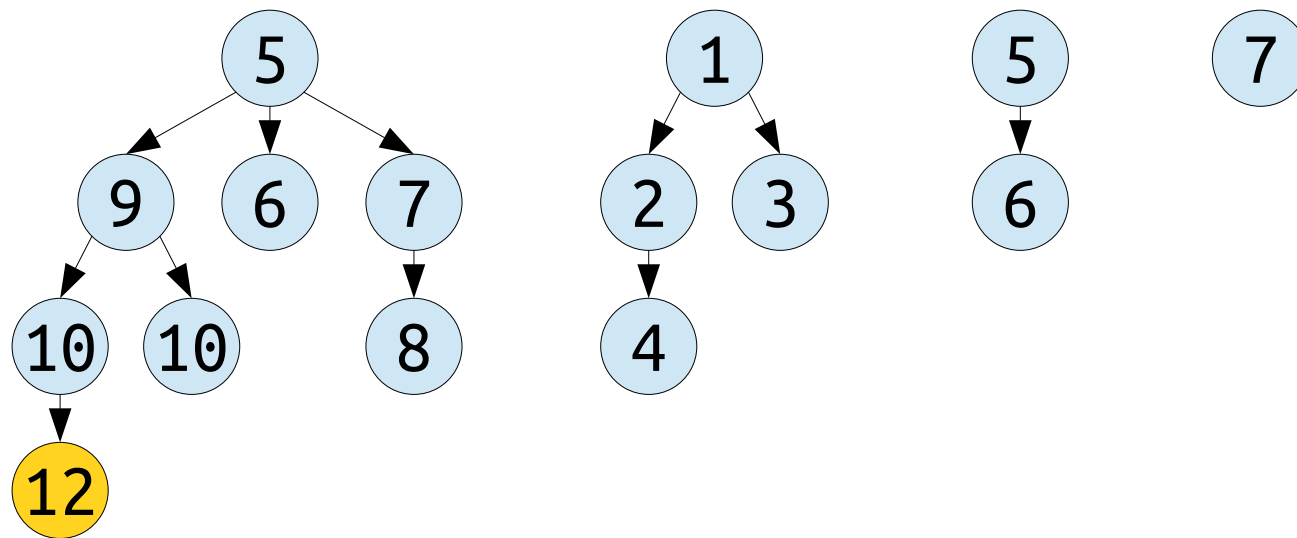
- The ***Fibonacci heap*** has these amortized runtimes:
  - ***enqueue***:  $O(1)$
  - ***extract-min***:  $O(\log n)$ .
  - ***decrease-key***:  $O(1)$ .
- Cost of Prim's or Dijkstra's algorithm:
$$O(n T_{\text{enq}} + n T_{\text{ext}} + m T_{\text{dec}})$$
$$= O(n + n \log n + m)$$
$$= \mathbf{O(m + n \log n)}$$
- This is theoretically optimal for a comparison-based priority queue in Dijkstra's or Prim's algorithms.

The Challenge of *decrease-key*



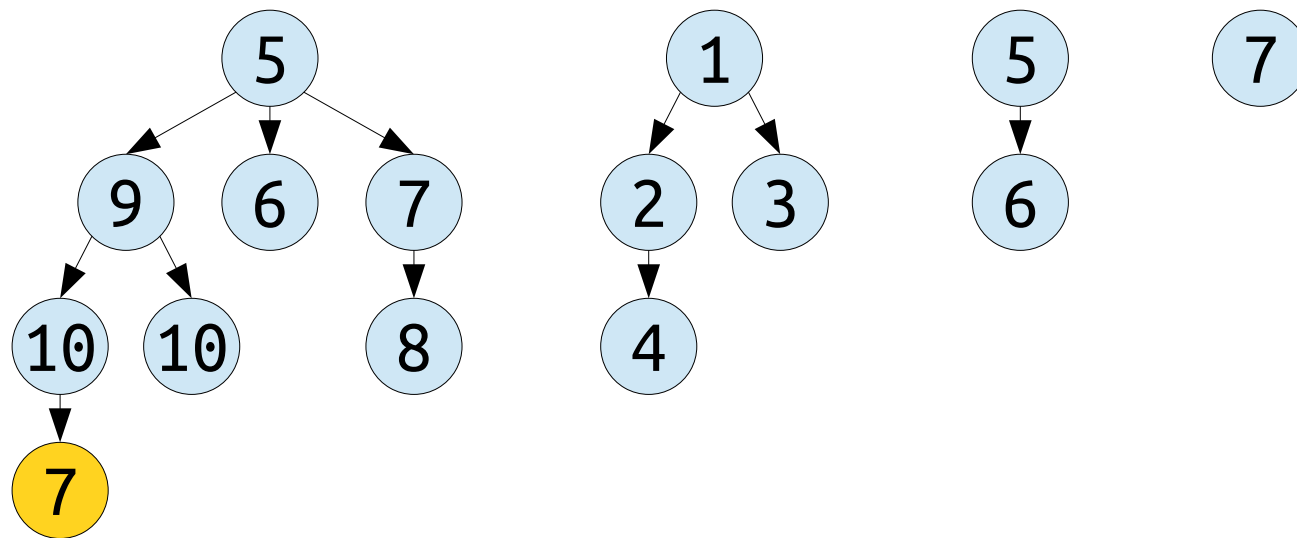
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How might we implement *decrease-key* in a lazy binomial heap?



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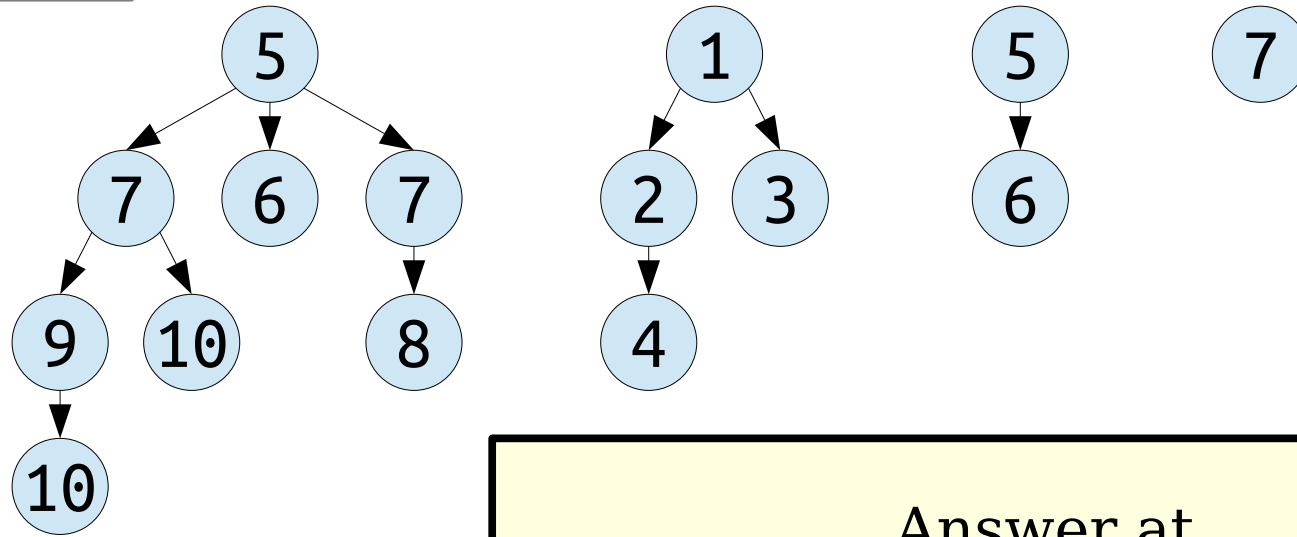
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If our lazy binomial heap has  $n$  nodes, how tall can the tallest tree be?



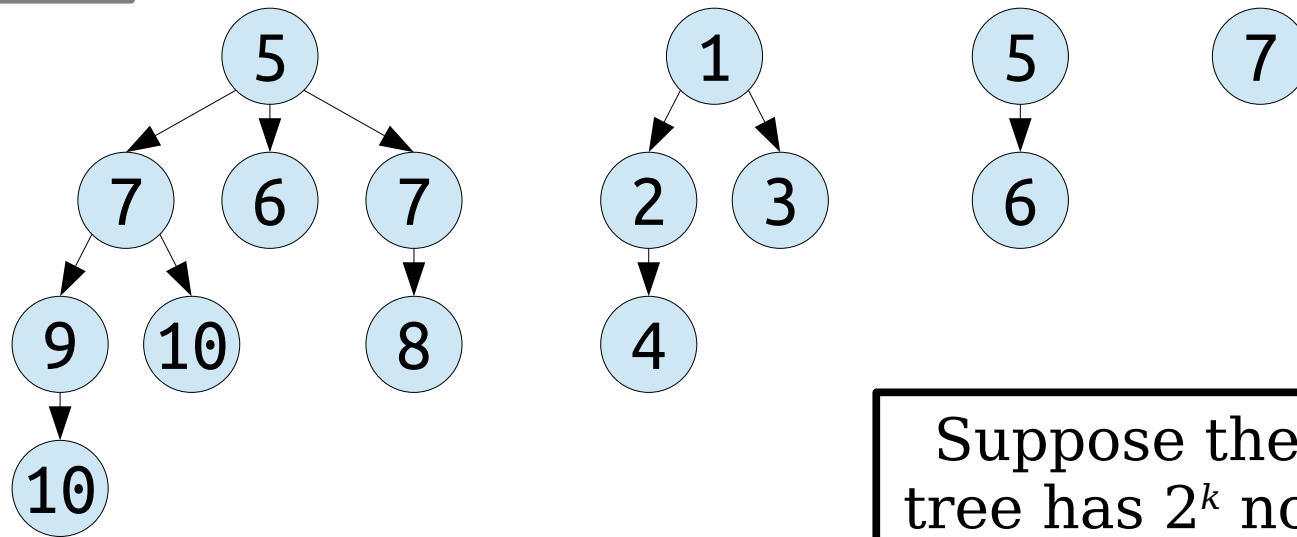
Answer at

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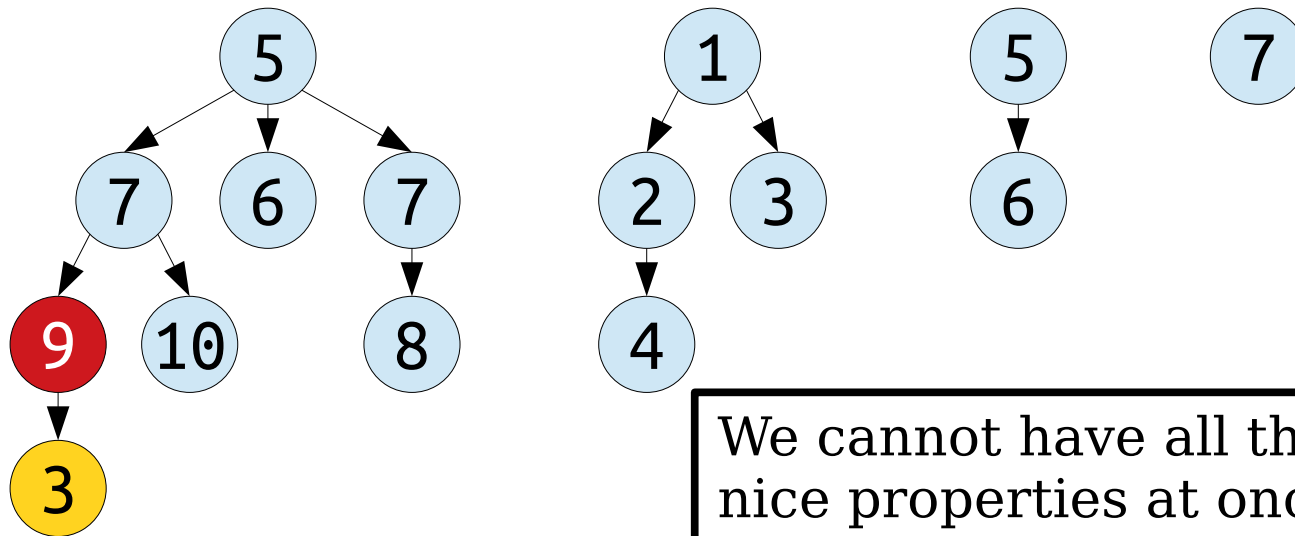


Suppose the biggest tree has  $2^k$  nodes in it.

Then  $2^k \leq n$ .

So  $k = O(\log n)$ .

**Challenge:** Support *decrease-key* in (amortized) time  $O(1)$ .

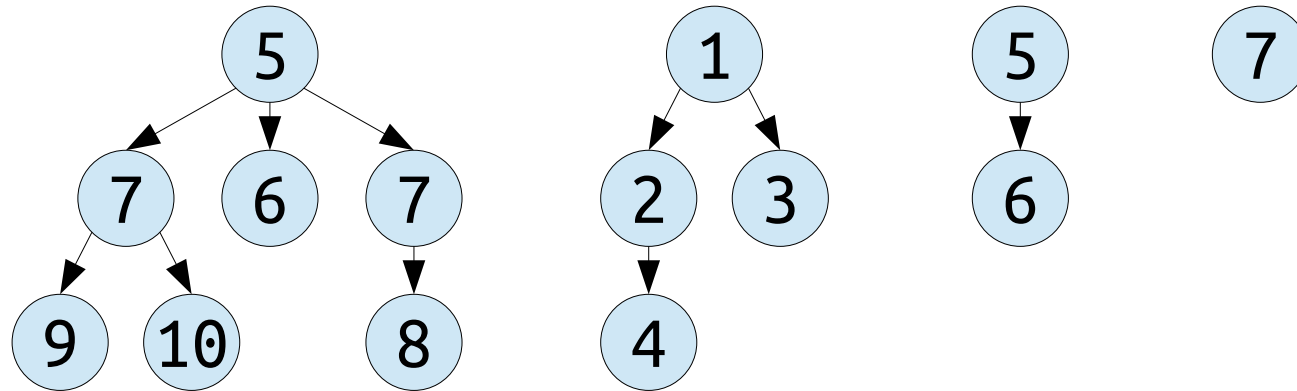


We cannot have all three of these nice properties at once:

1. *decrease-key* takes time  $O(1)$ .
2. Our trees are heap-ordered.
3. Our trees are binomial trees.

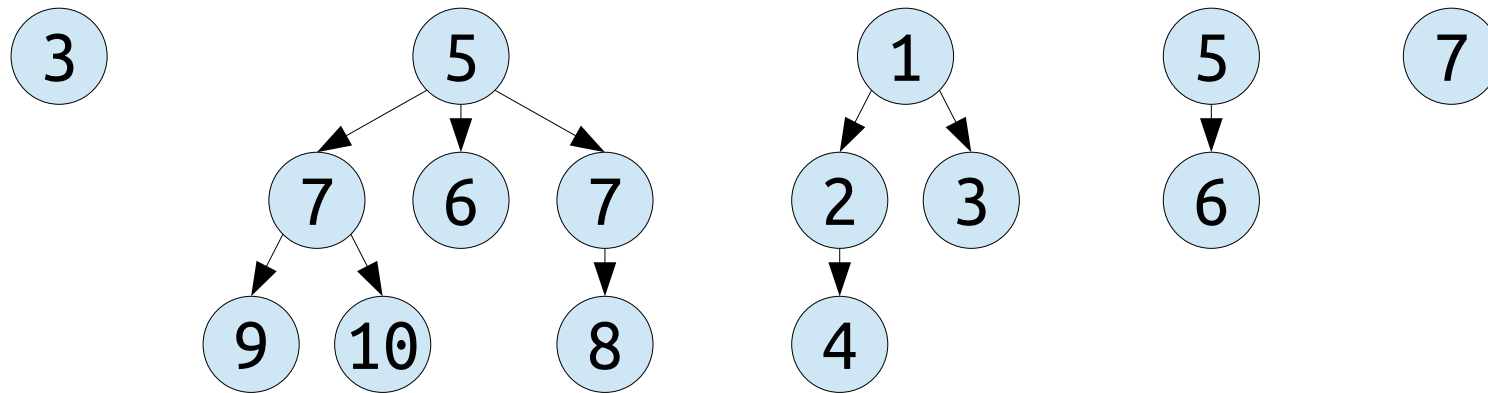
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3



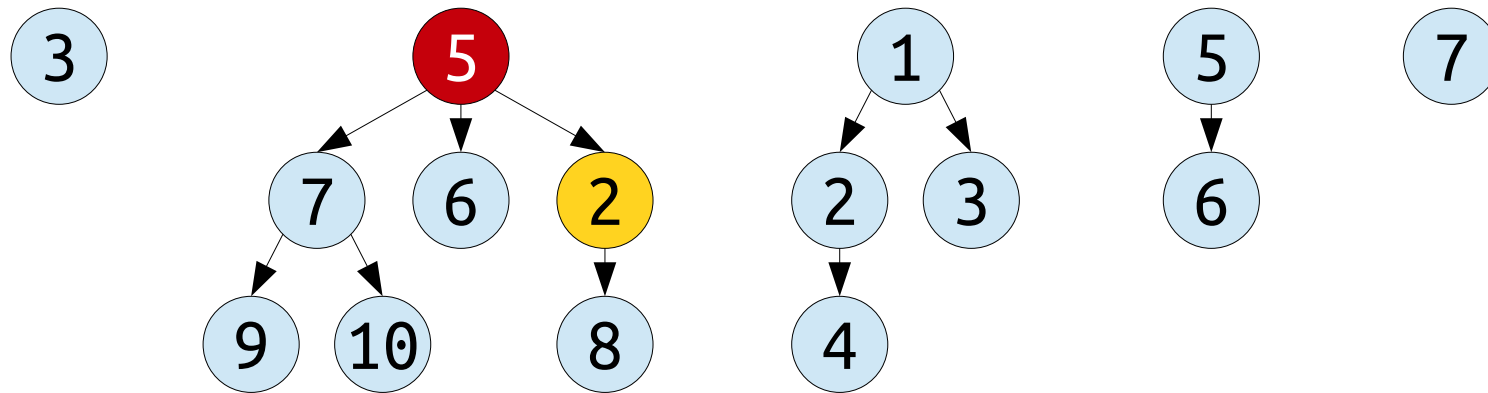
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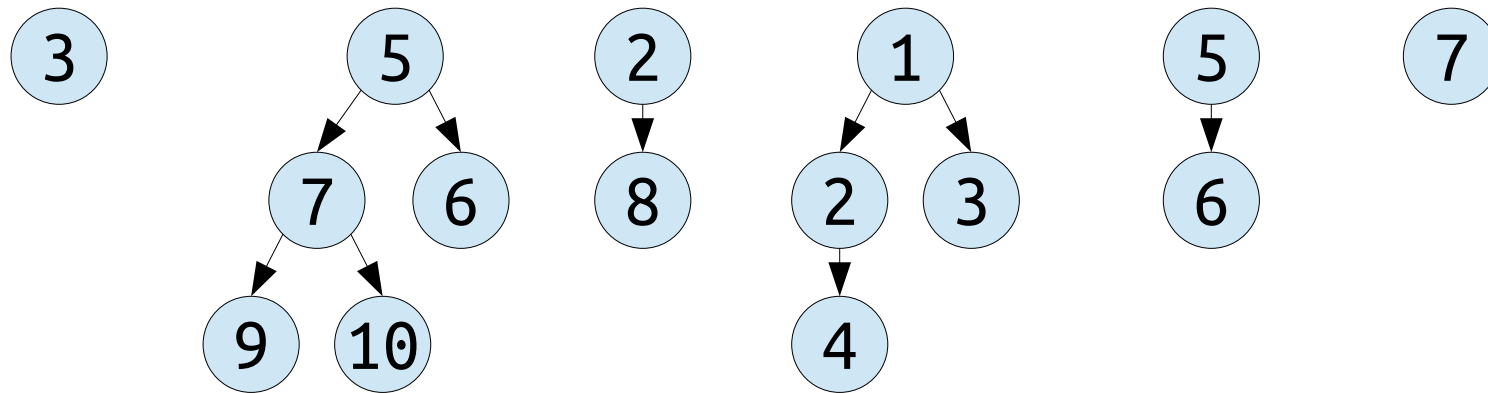
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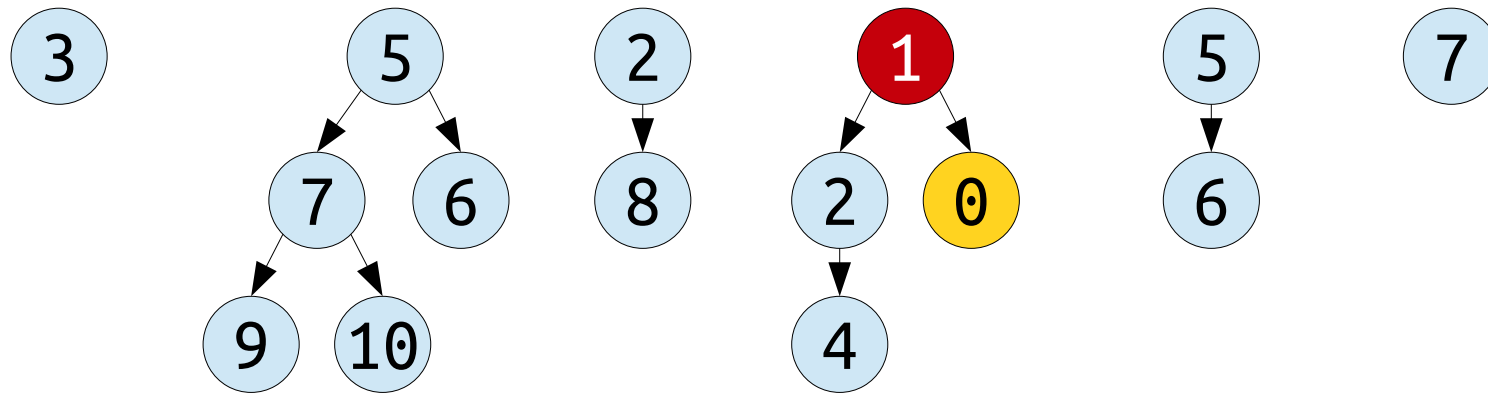
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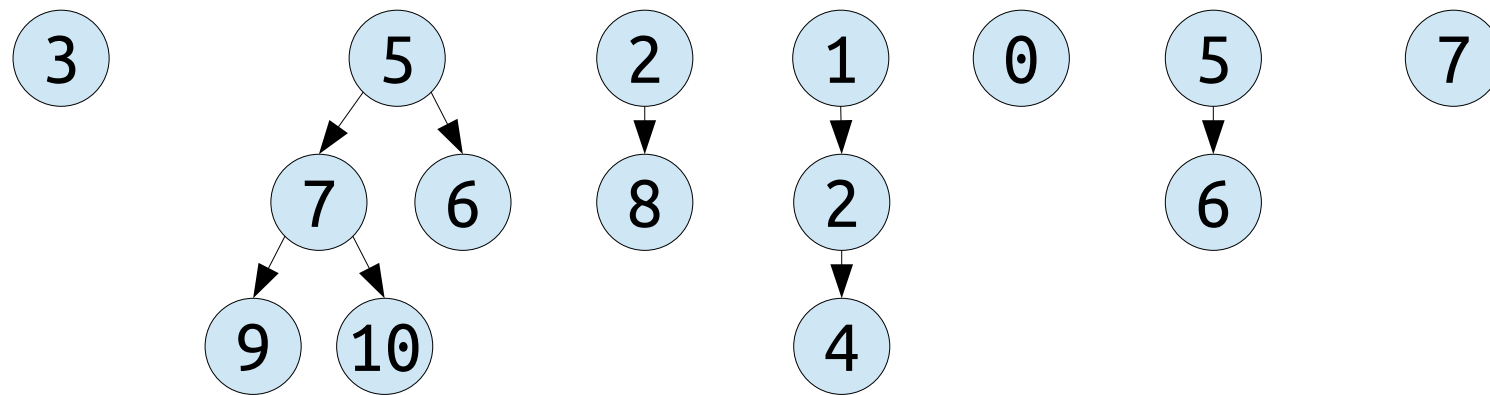
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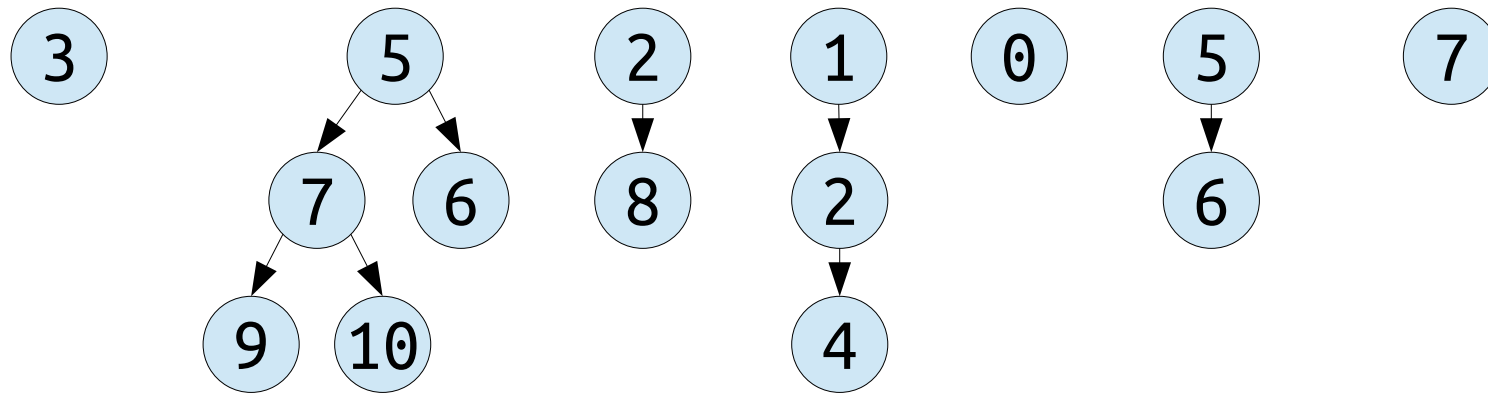
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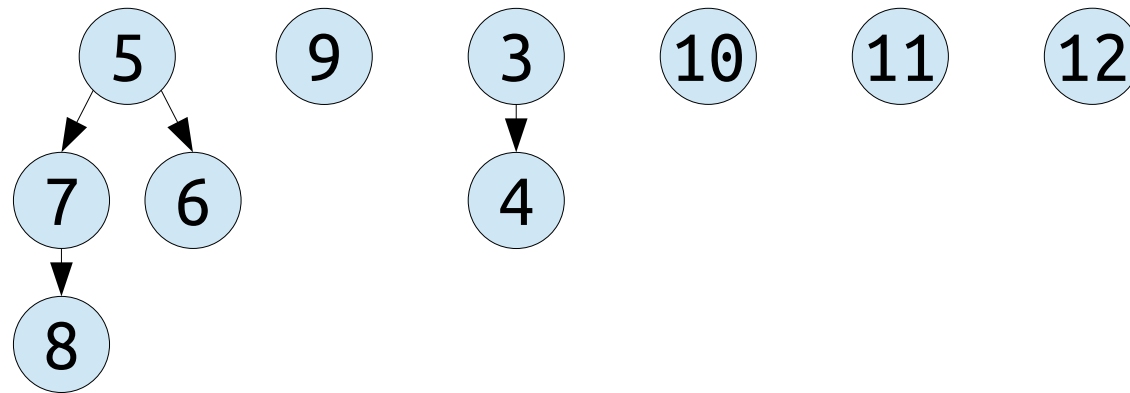
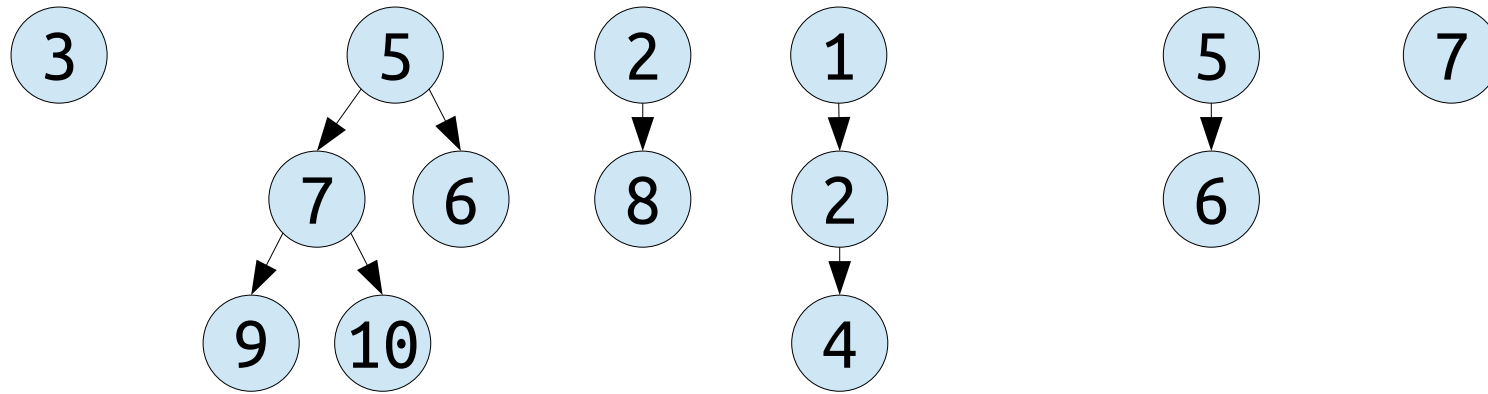
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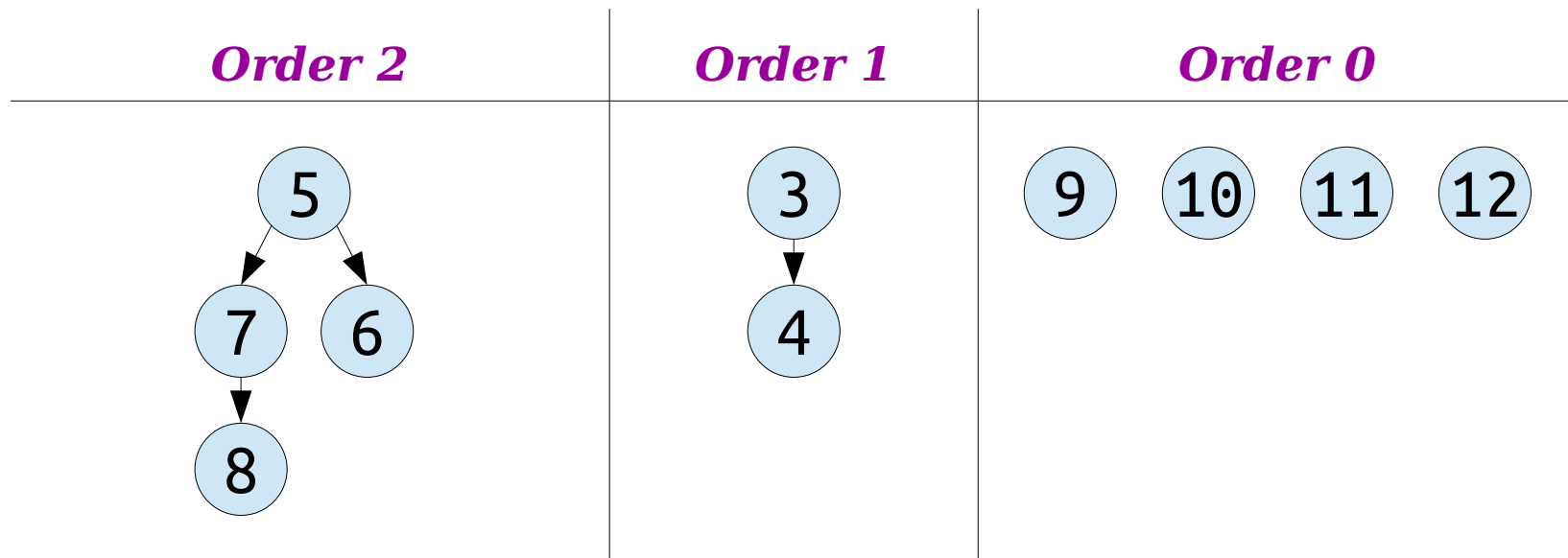
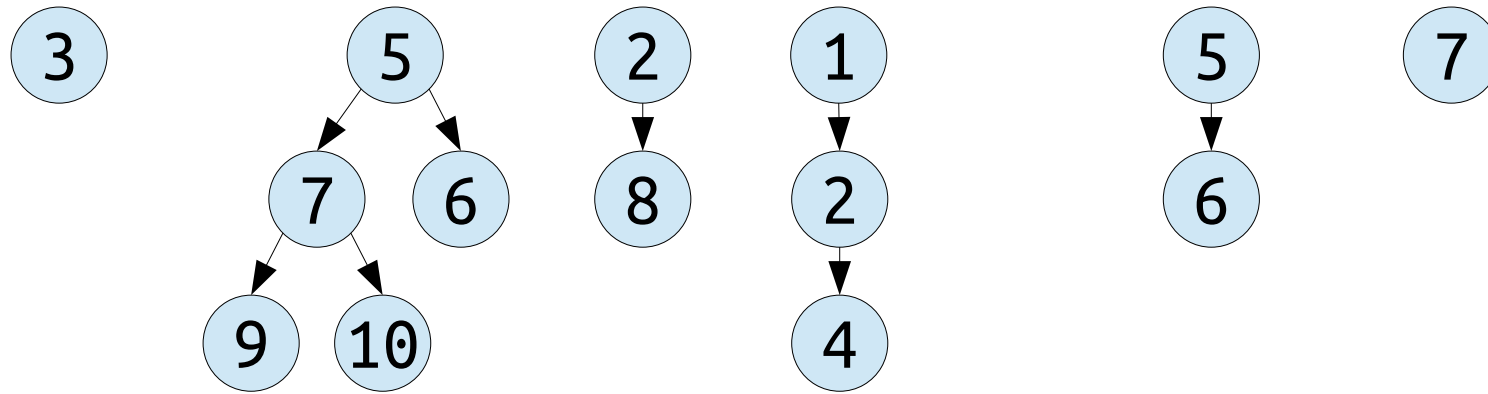
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**Problem:** What do we do in an *extract-min*?



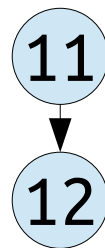
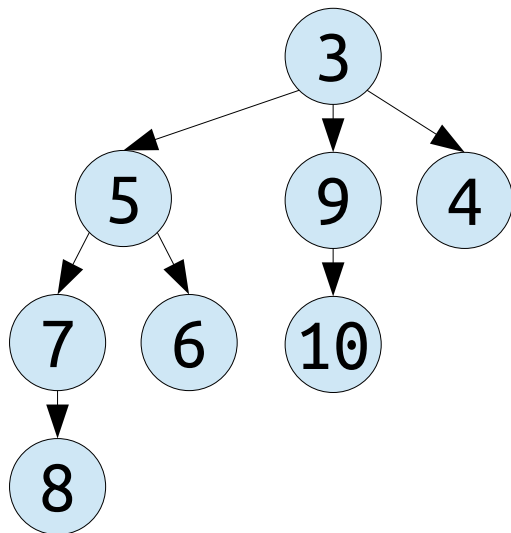
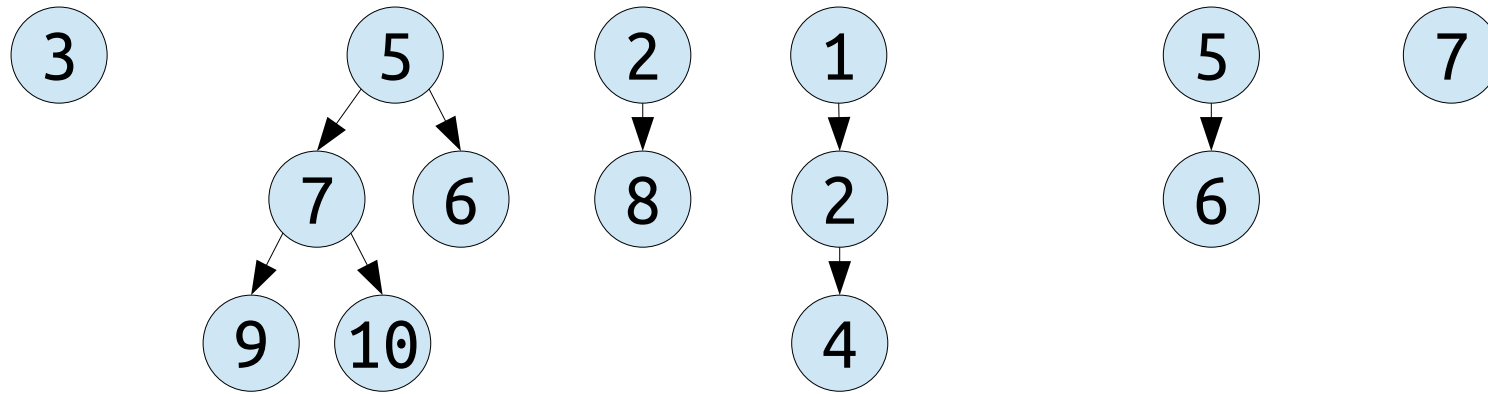
*What We Used to Do*

**Problem:** What do we do in an *extract-min*?



*What We Used to Do*

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This system assumes we can assign an "order" to each tree. That's easy with binomial trees. That's harder with our new trees. What should we do here?

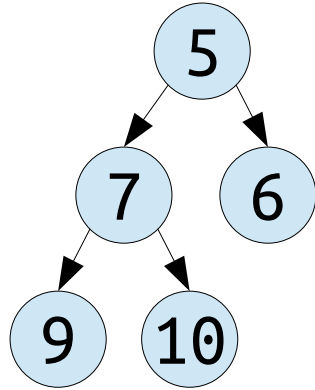
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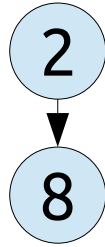
Order 0



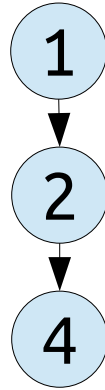
Order 2



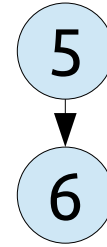
Order 1



Order 1



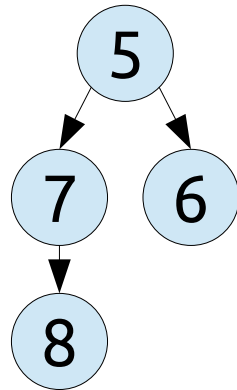
Order 1



Order 0



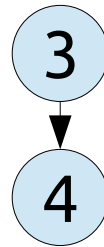
Order 2



Order 0



Order 1



Order 0



Order 0



Order 0

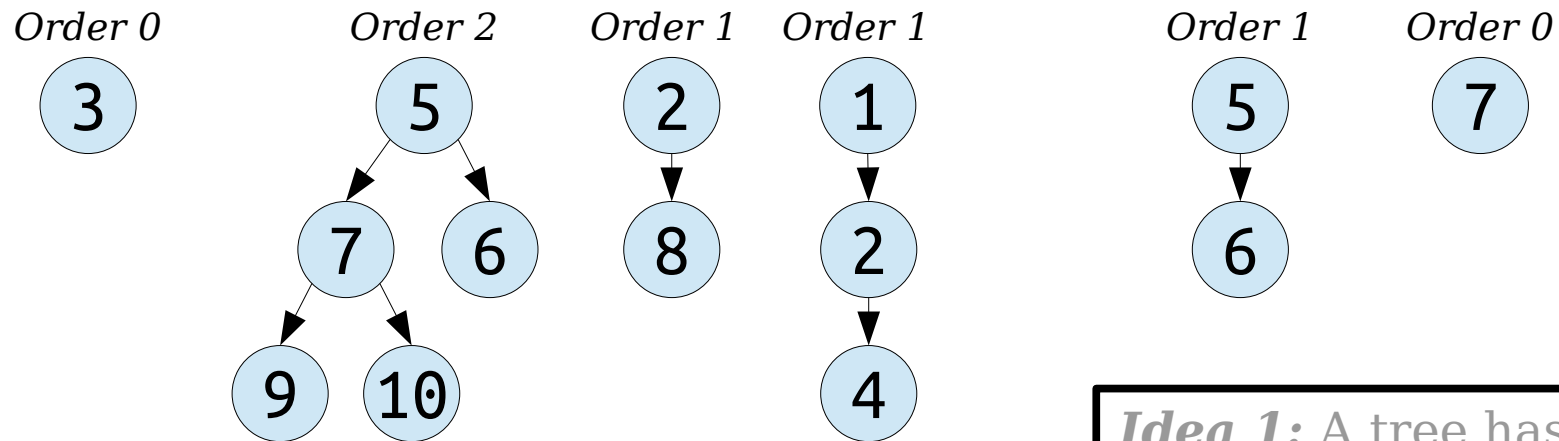


**Idea 1:** A tree has order  $k$  if it has  $2^k$  nodes.

**Idea 2:** A tree has order  $k$  if its root has  $k$  children.

**What We Used to Do**

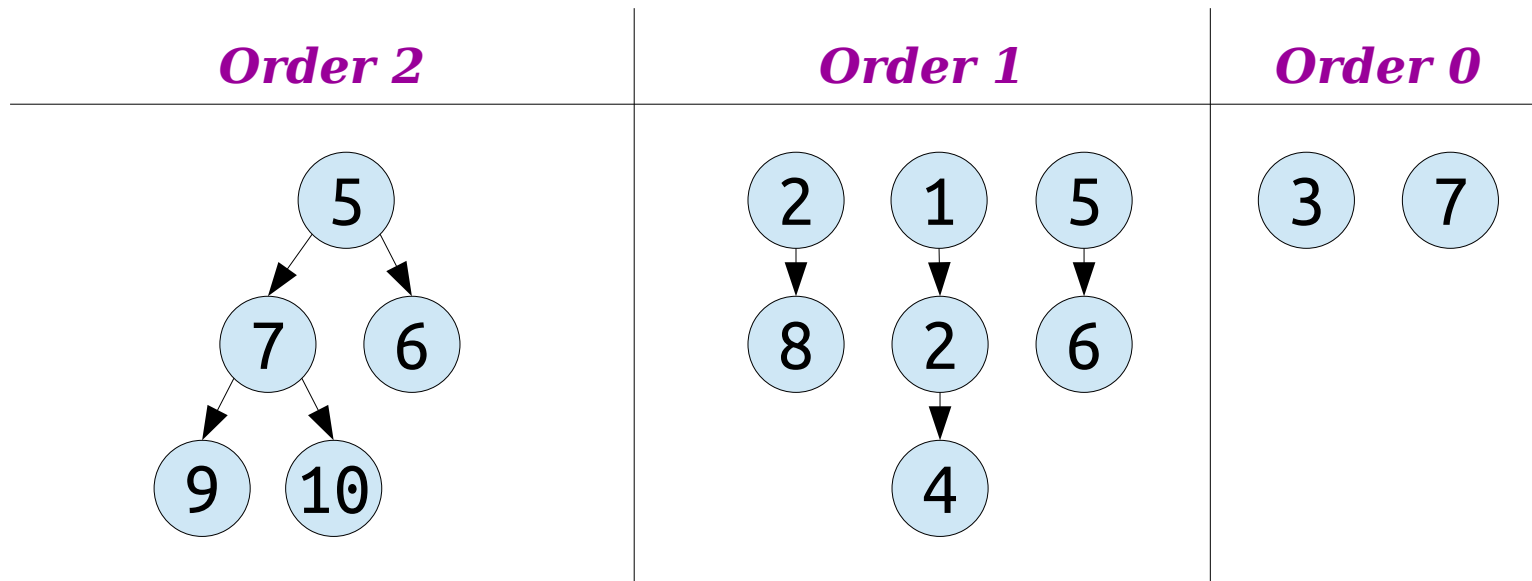
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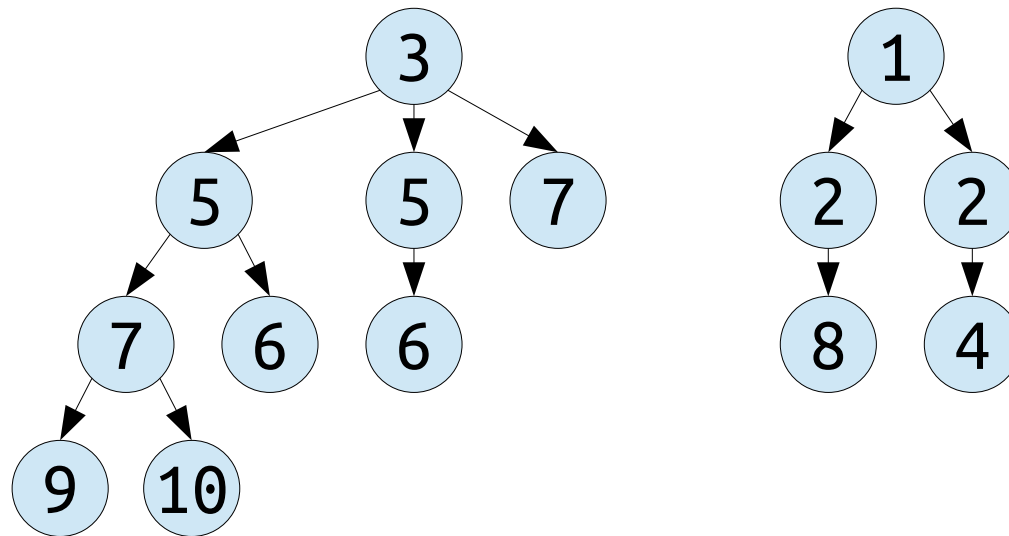
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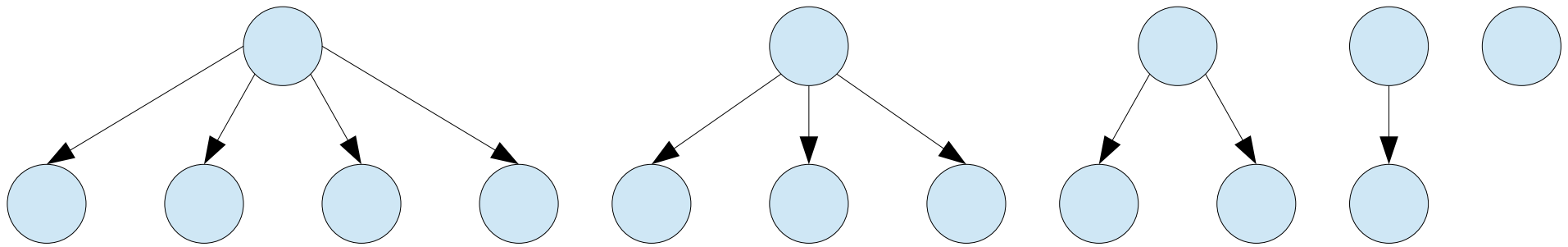
**Problem:** What do we do in an *extract-min*?

**Question:** How efficient is this?



- (1) To do a **decrease-key**, cut the node from its parent.
- (2) Do **extract-min** as usual, using child count as order.



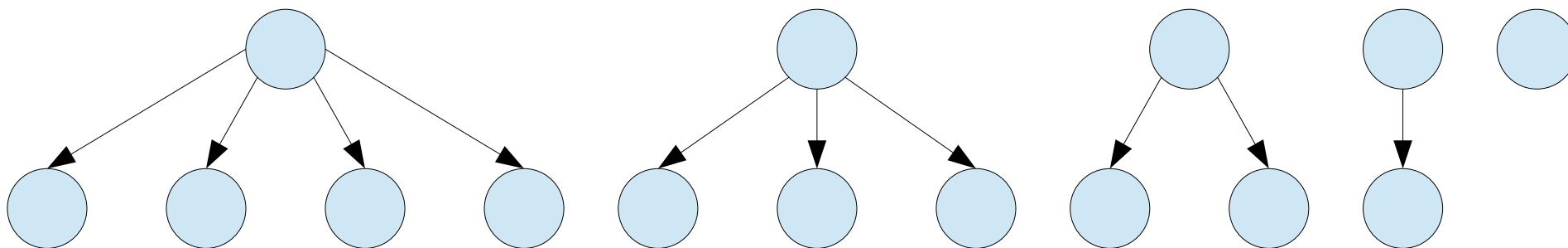


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***Claim:*** Our trees can end up with very unusual shapes.

**Intuition: *extract-min***  
is only fast if it  
compacts nodes into a  
few trees.

There are  $\Theta(n^{1/2})$  trees here.  
Why?



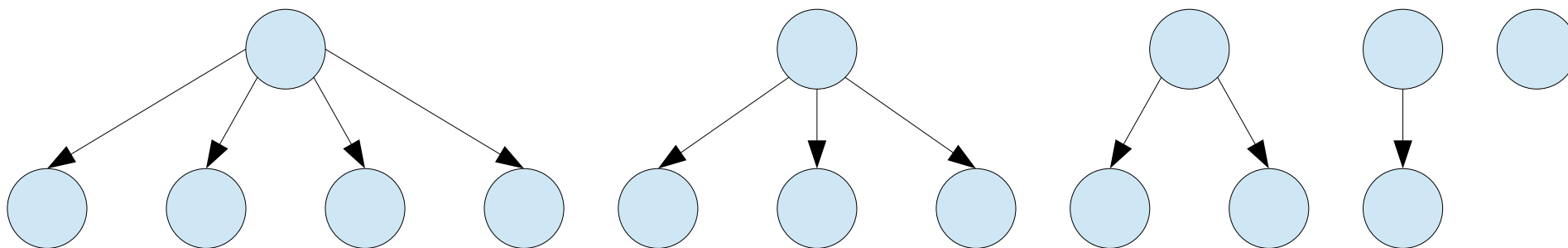
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**Claim:** Because tree shapes aren't well-constrained, we  
can force *extract-min* to take amortized time  $\Omega(n^{1/2})$ .

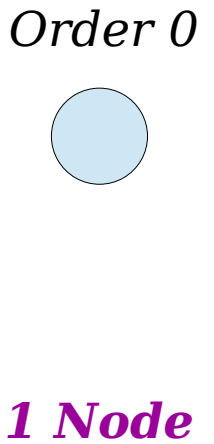
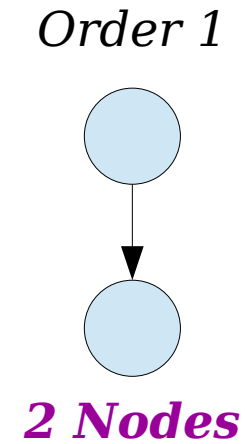
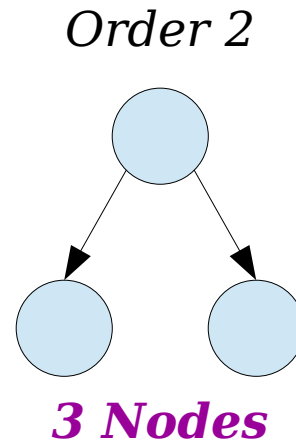
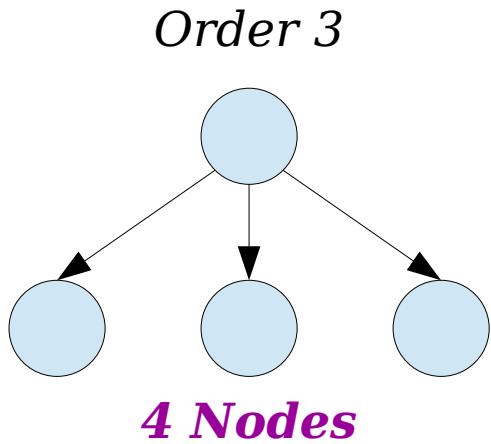
**Intuition: *extract-min***  
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There are  $\Theta(n^{1/2})$  trees here.  
What happens if we repeatedly  
***enqueue*** and ***extract-min*** a  
small value?



Each operation does  
 $\Theta(n^{1/2})$  work, and doesn't  
make any future  
operations any better.

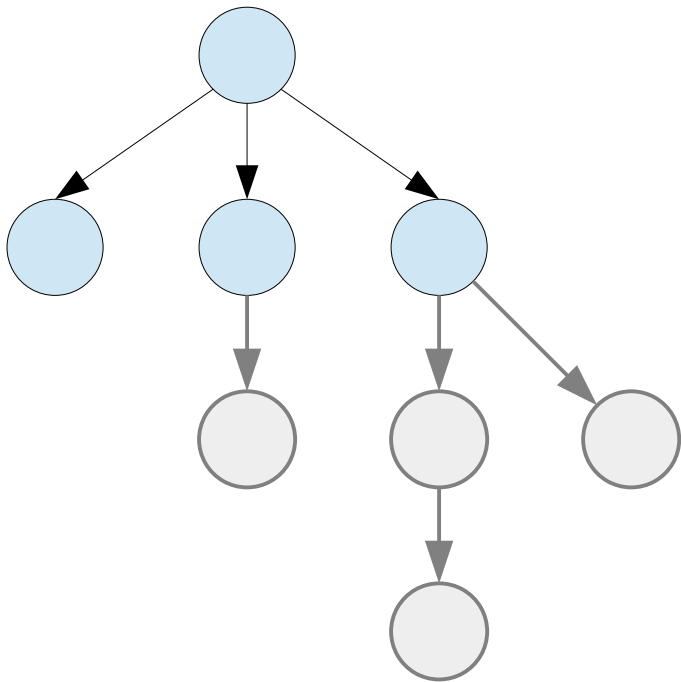
**Claim:** Because tree shapes aren't well-constrained, we  
can force ***extract-min*** to take amortized time  $\Omega(n^{1/2})$ .



With  $n$  nodes, it's possible to have  $\Omega(n^{1/2})$  trees of distinct orders.

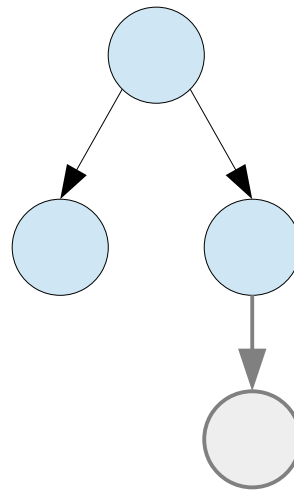
**Question:** Why didn't this happen before?

Order 3



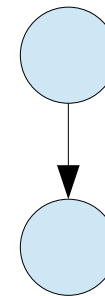
**8 Nodes**

Order 2



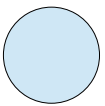
**4 Nodes**

Order 1



**2 Nodes**

Order 0



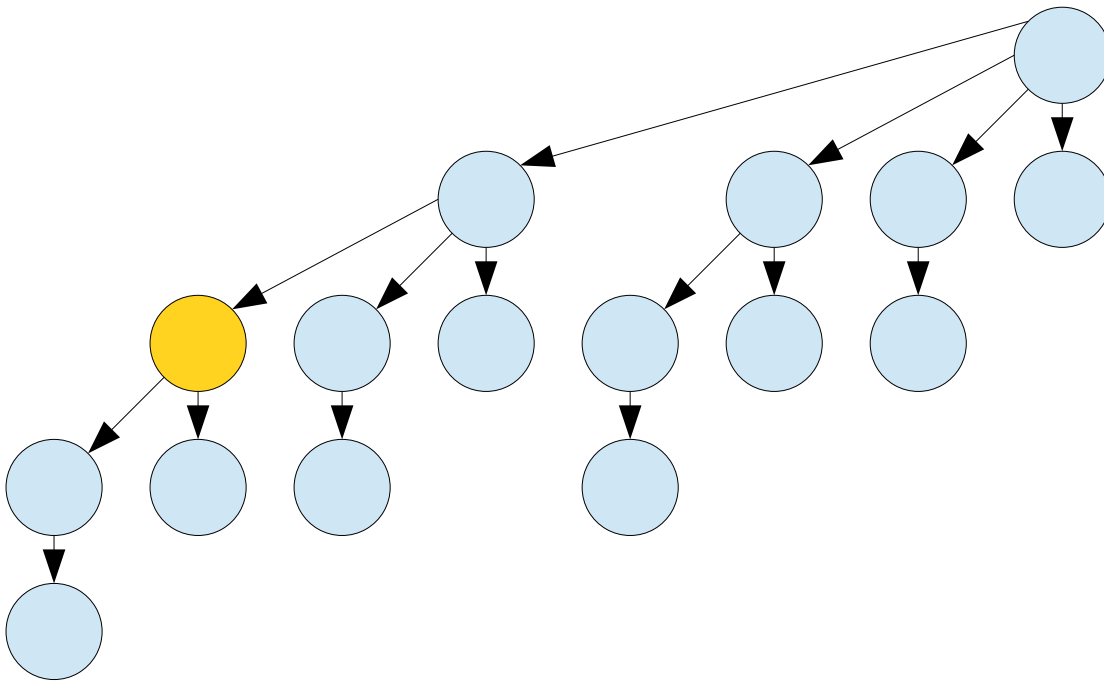
**1 Node**

Binomial tree sizes grow exponentially.  
With  $n$  nodes, we can have at most  $O(\log n)$  trees of distinct orders.

**Question:** Why didn't this happen before?

**Intuition:** Allow trees to get somewhat imbalanced, slowly propagating information to the root.

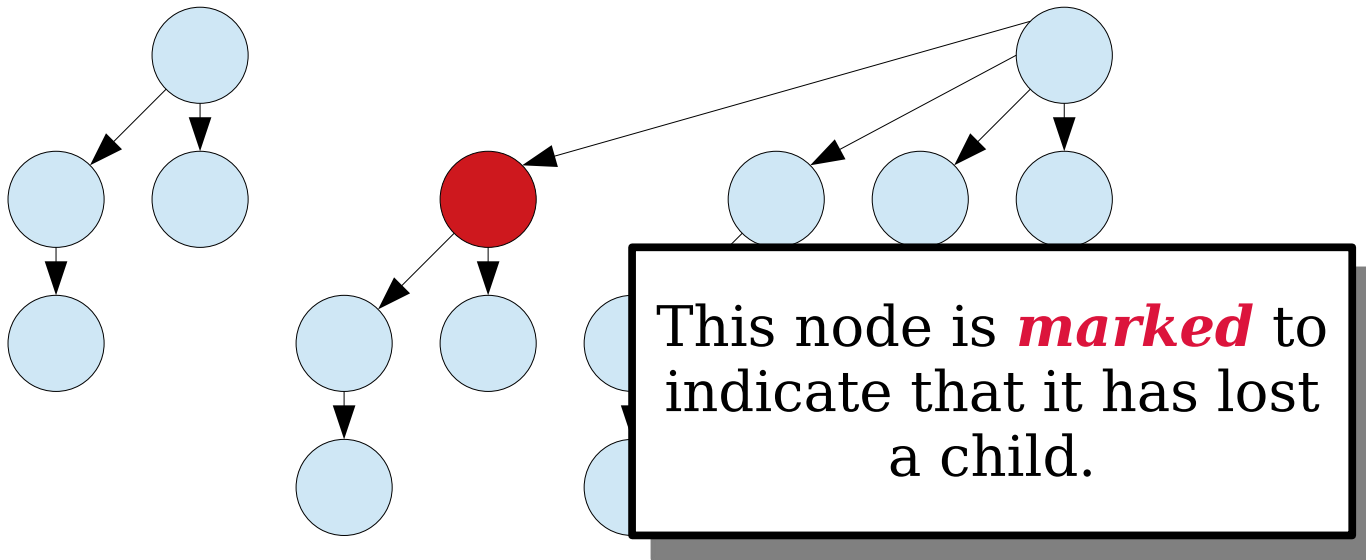
**Rule:** Nodes can lose at most one child. If a node loses two children, cut it from its parent.



**Goal:** Make tree sizes grow exponentially with order, but still allow for subtrees to be cut out quickly.

**Intuition:** Allow trees to get somewhat imbalanced, slowly propagating information to the root.

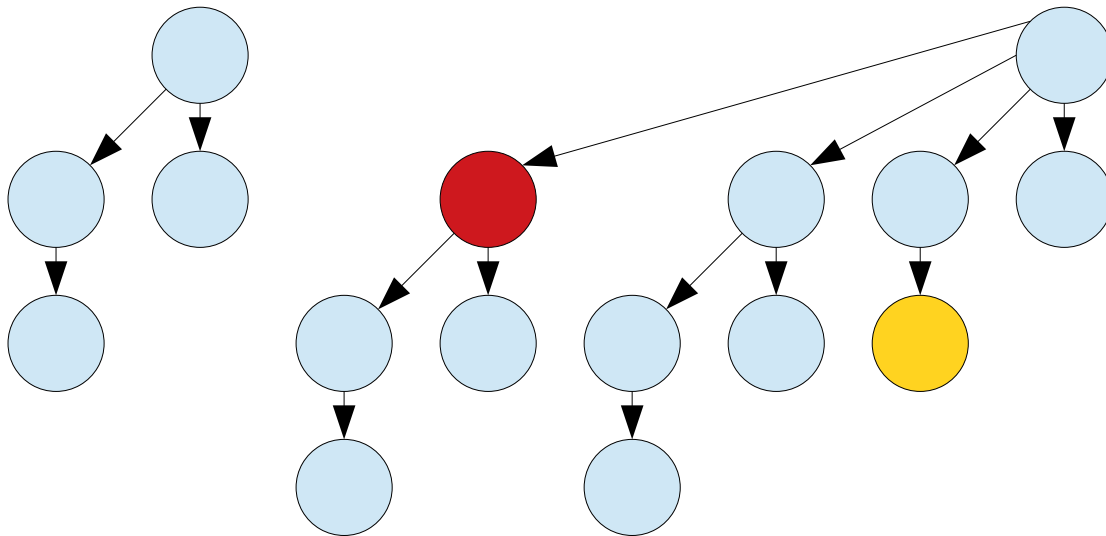
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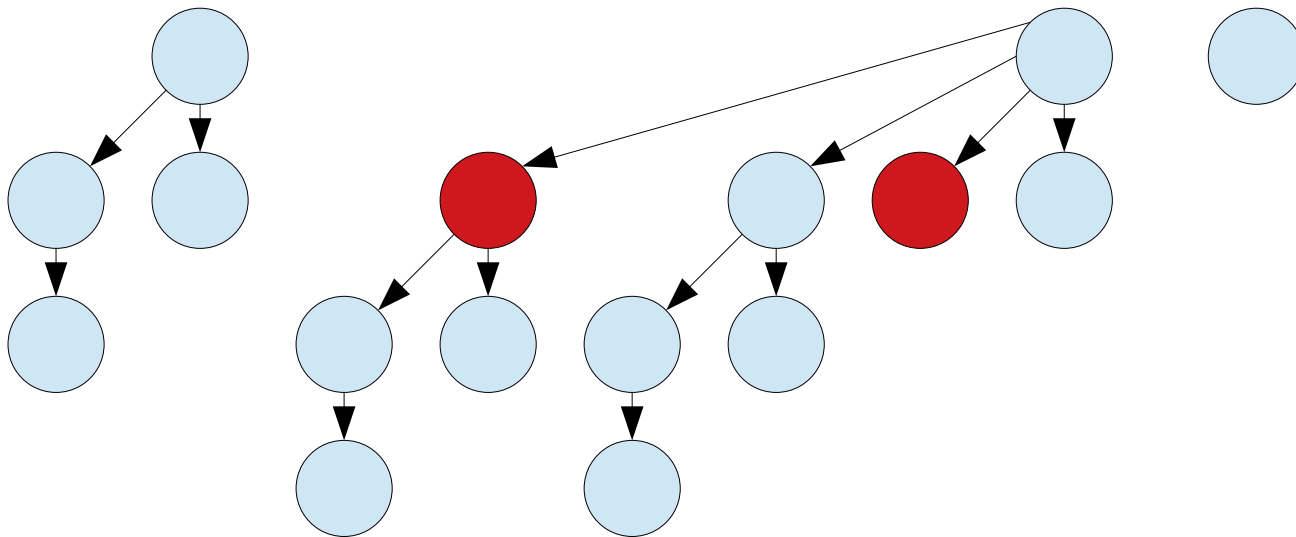


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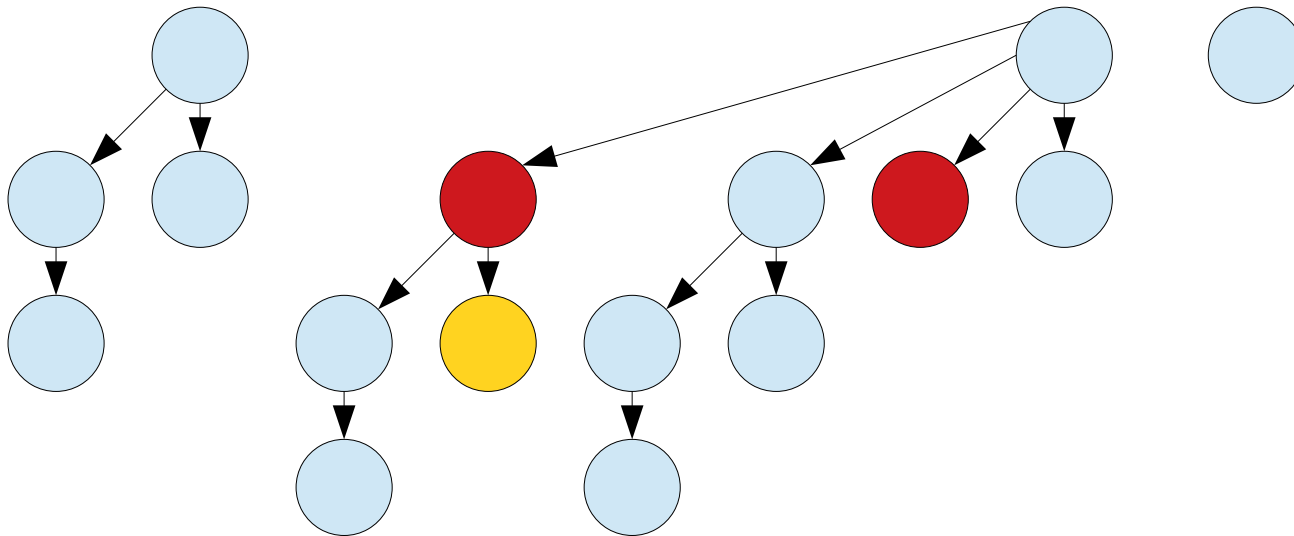
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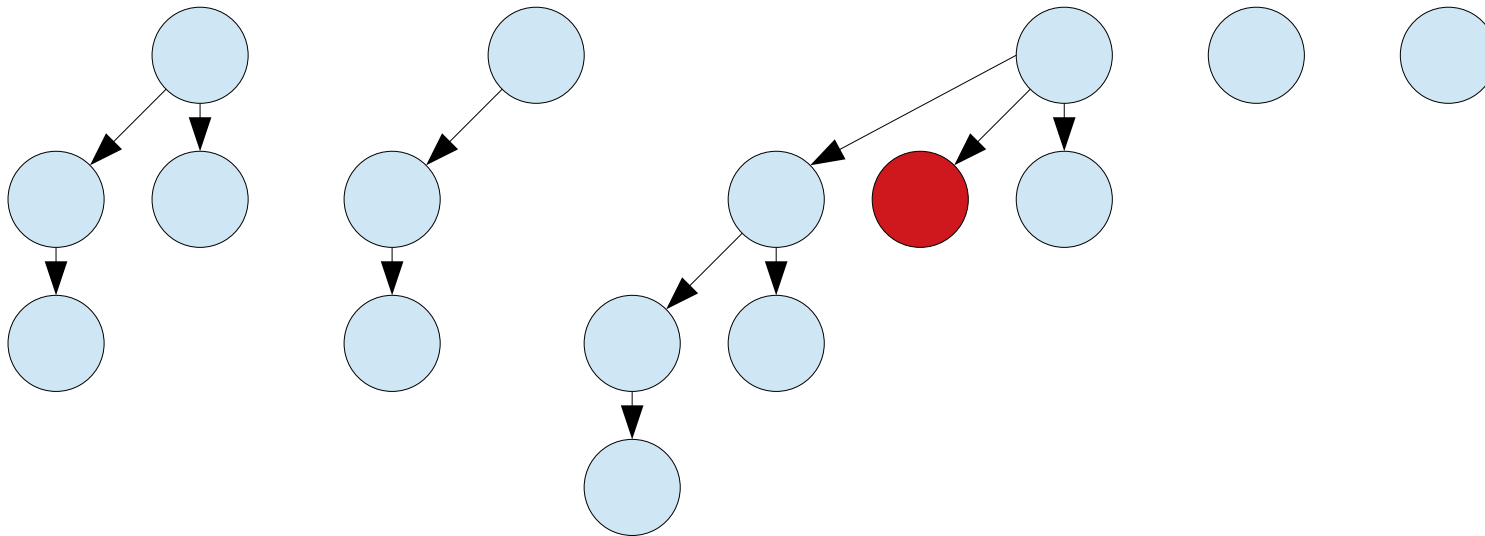
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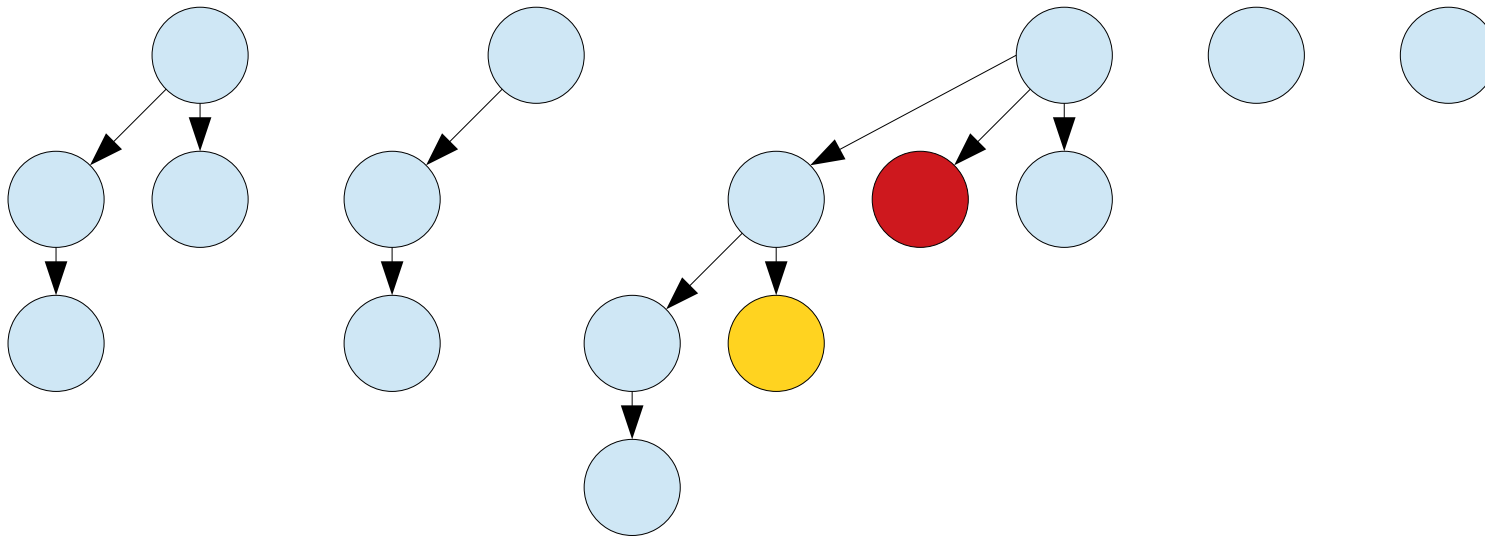
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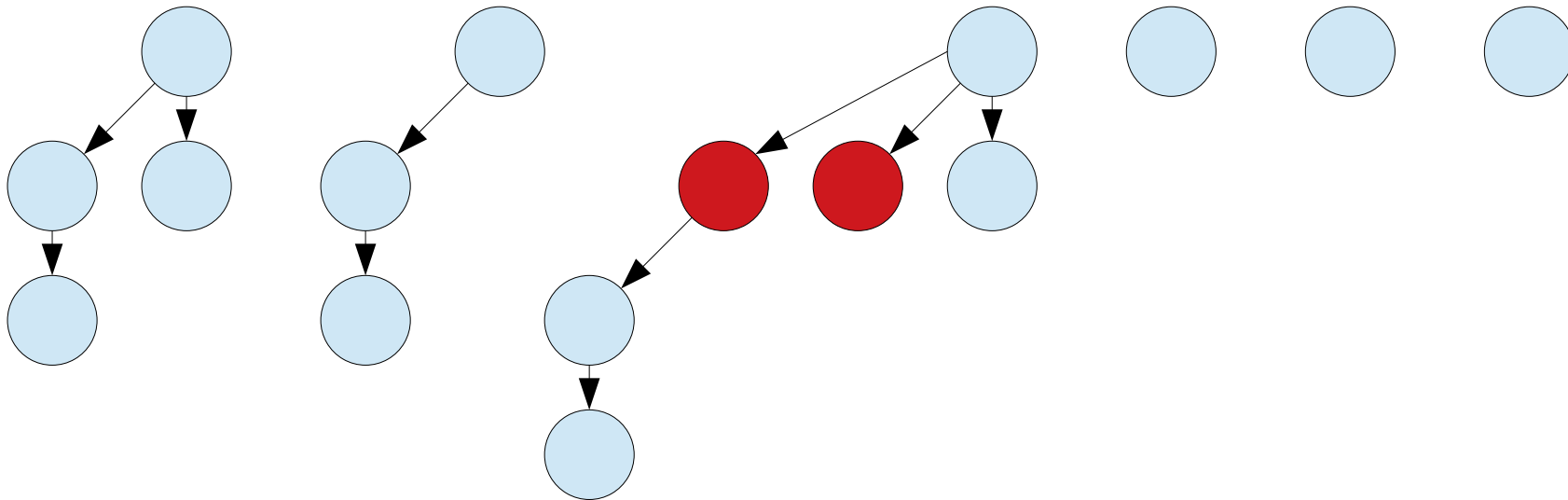
**Rule:** Nodes can lose at most one child. If a node loses two children, cut it from its parent.



**Goal:** Make tree sizes grow exponentially with order, but still allow for subtrees to be cut out quickly.

**Intuition:** Allow trees to get somewhat imbalanced, slowly propagating information to the root.

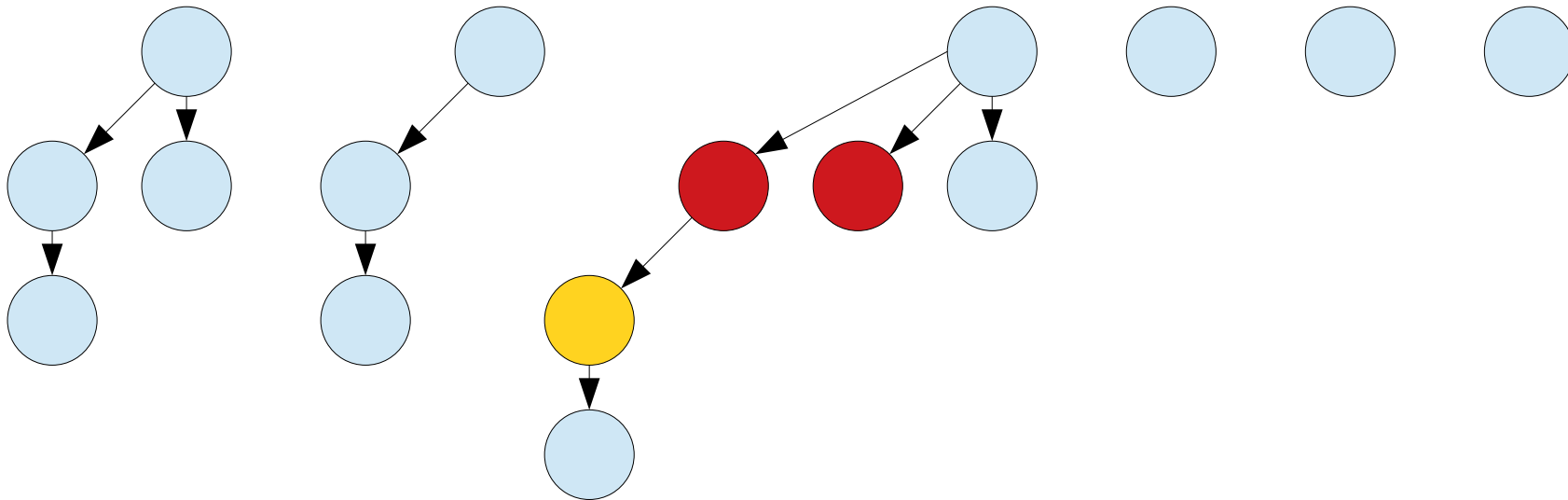
**Rule:** Nodes can lose at most one child. If a node loses two children, cut it from its parent.



**Goal:** Make tree sizes grow exponentially with order, but still allow for subtrees to be cut out quickly.

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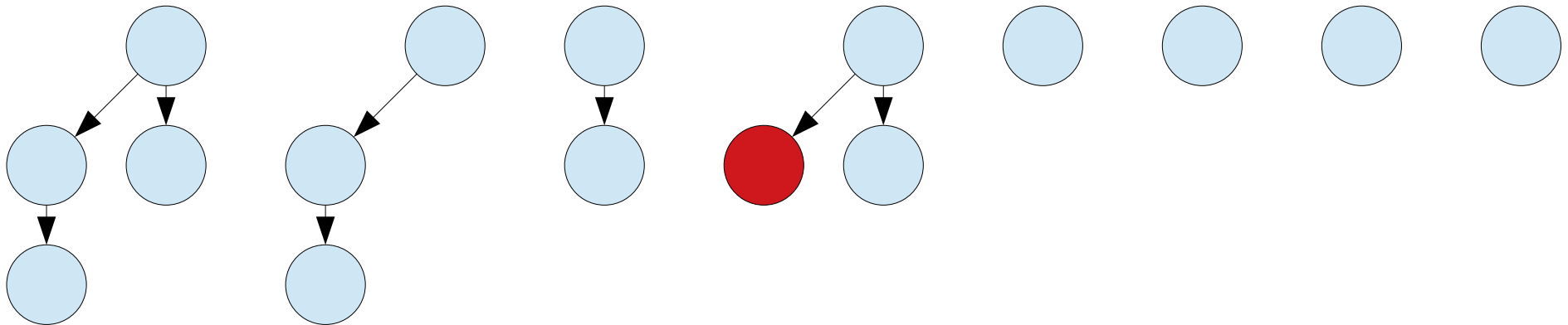
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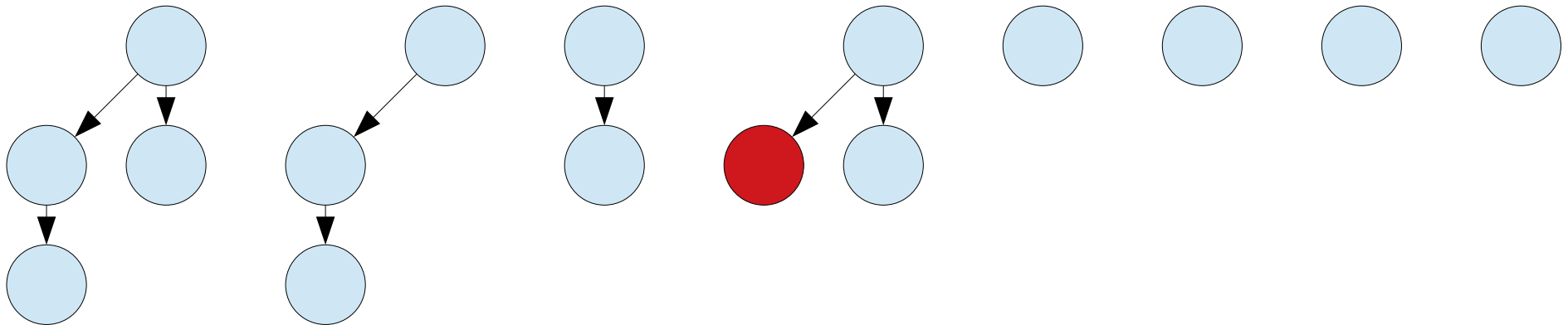
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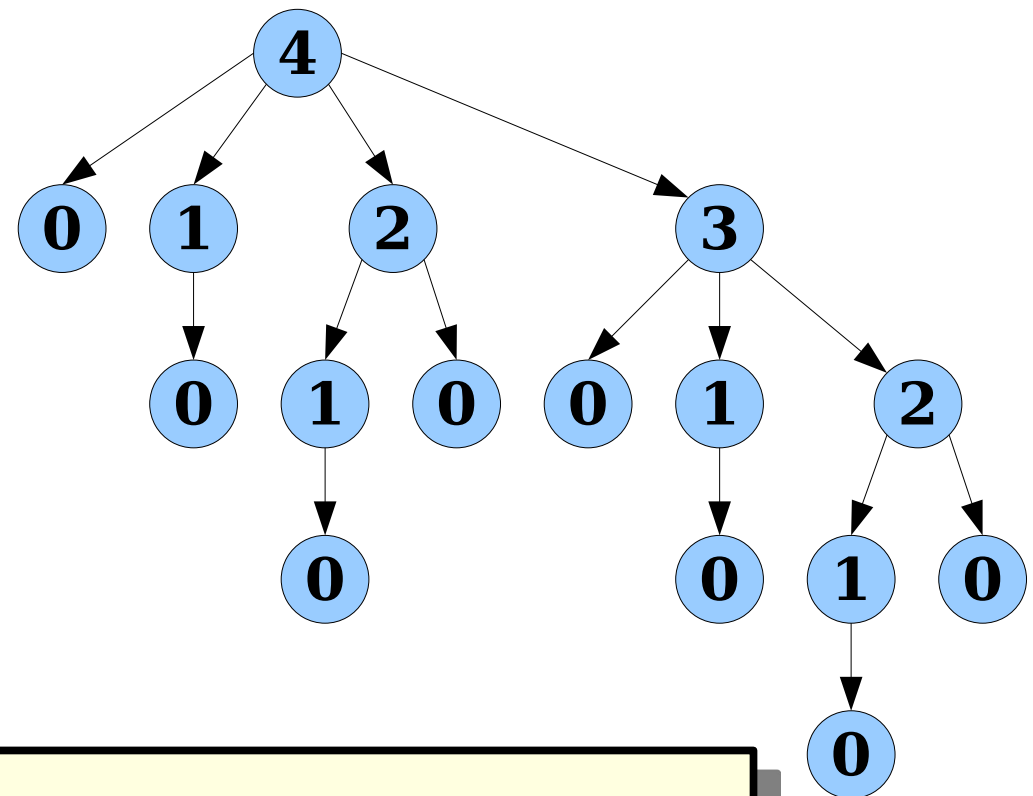


**Question:** Does this guarantee exponential tree size?



# Maximally-Damaged Trees

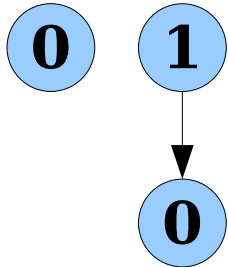
- Here's a binomial tree of order 4. That is, the root has four children.
- **Question:** Using our marking scheme, how many nodes can we remove without changing the order of the tree?
- Equivalently: how many nodes can we remove without removing any direct children of the root?



Answer at

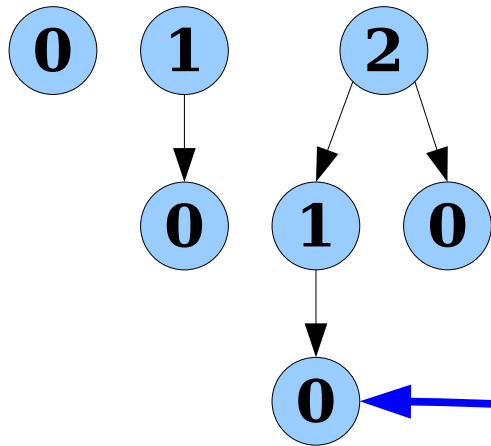
<https://pollev.com/cs166spr23>

# Maximally-Damaged Trees



We can't cut any nodes from this tree without making the root node have order 0.

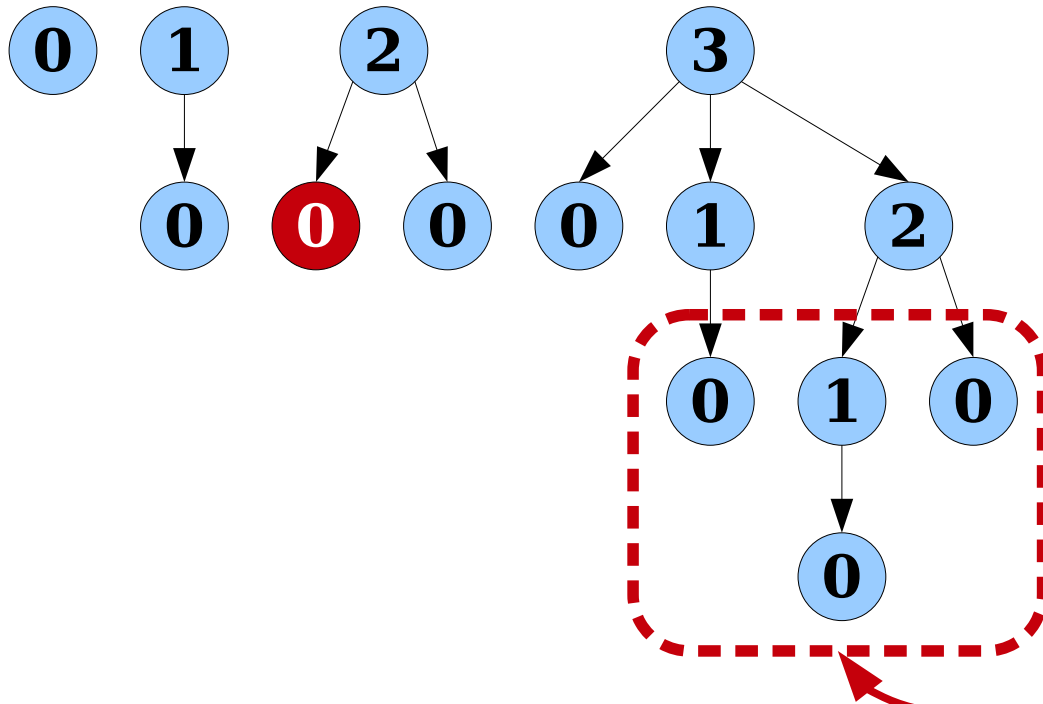
# Maximally-Damaged Trees



We can't cut any of the root's children without decreasing its order.

However, we can cut this node, leaving the root node with two children.

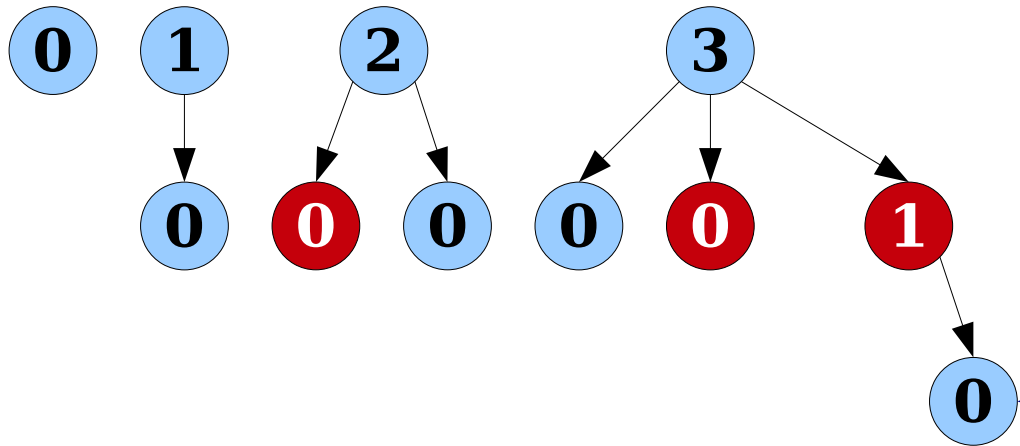
# Maximally-Damaged Trees



As before, we can't cut any of the root's children without decreasing its order.

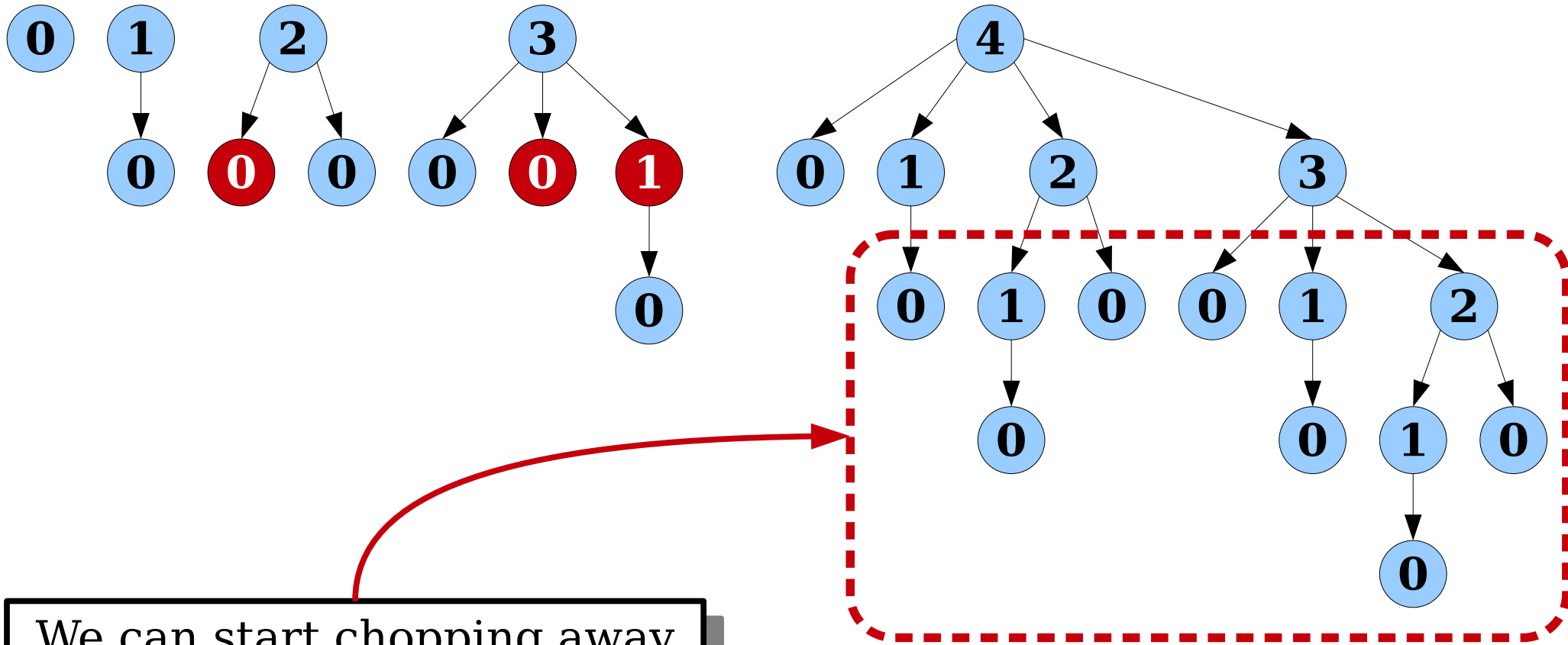
However, any nodes below the second layer are fair game to be eliminated.

# Maximally-Damaged Trees



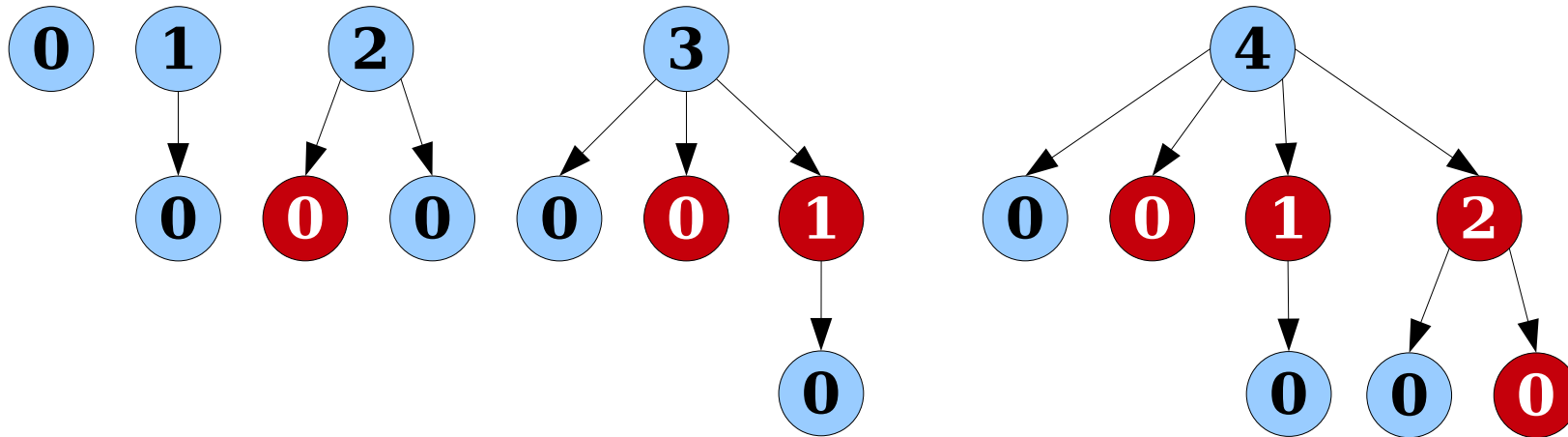
We can't cut this node without triggering a cascading cut, so we're done.

# Maximally-Damaged Trees

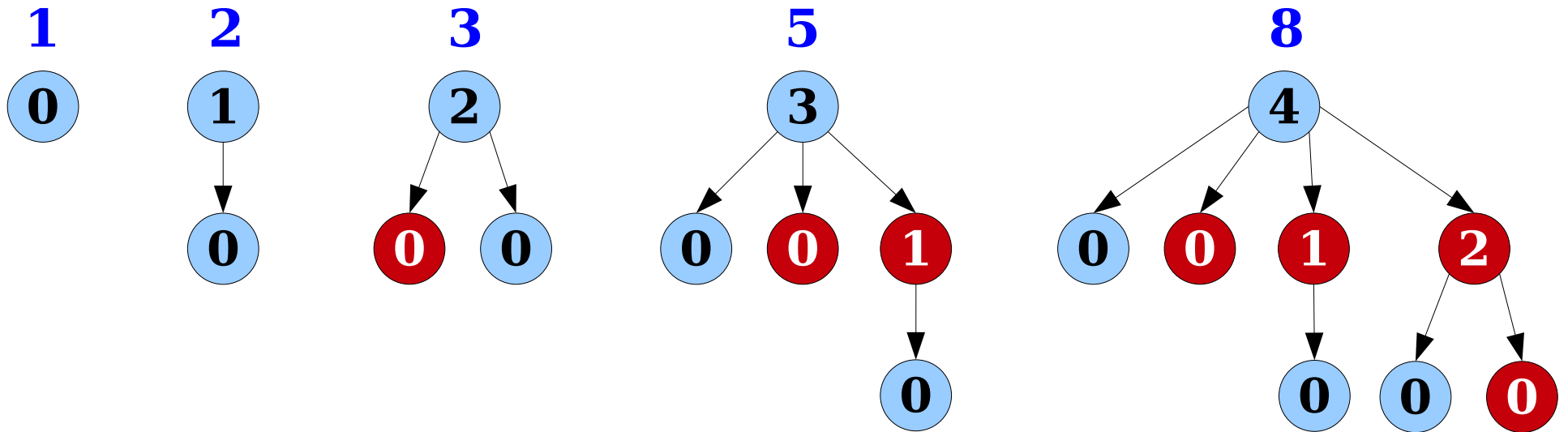


We can start chopping away at these nodes!

# Maximally-Damaged Trees

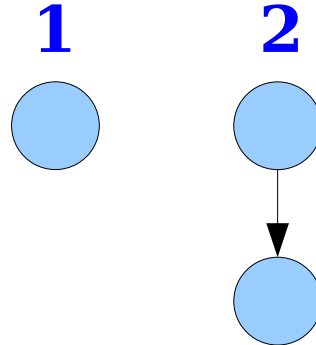


# Maximally-Damaged Trees



**Claim:** The minimum number of nodes in a tree of order  $k$  is  $F_{k+2}$





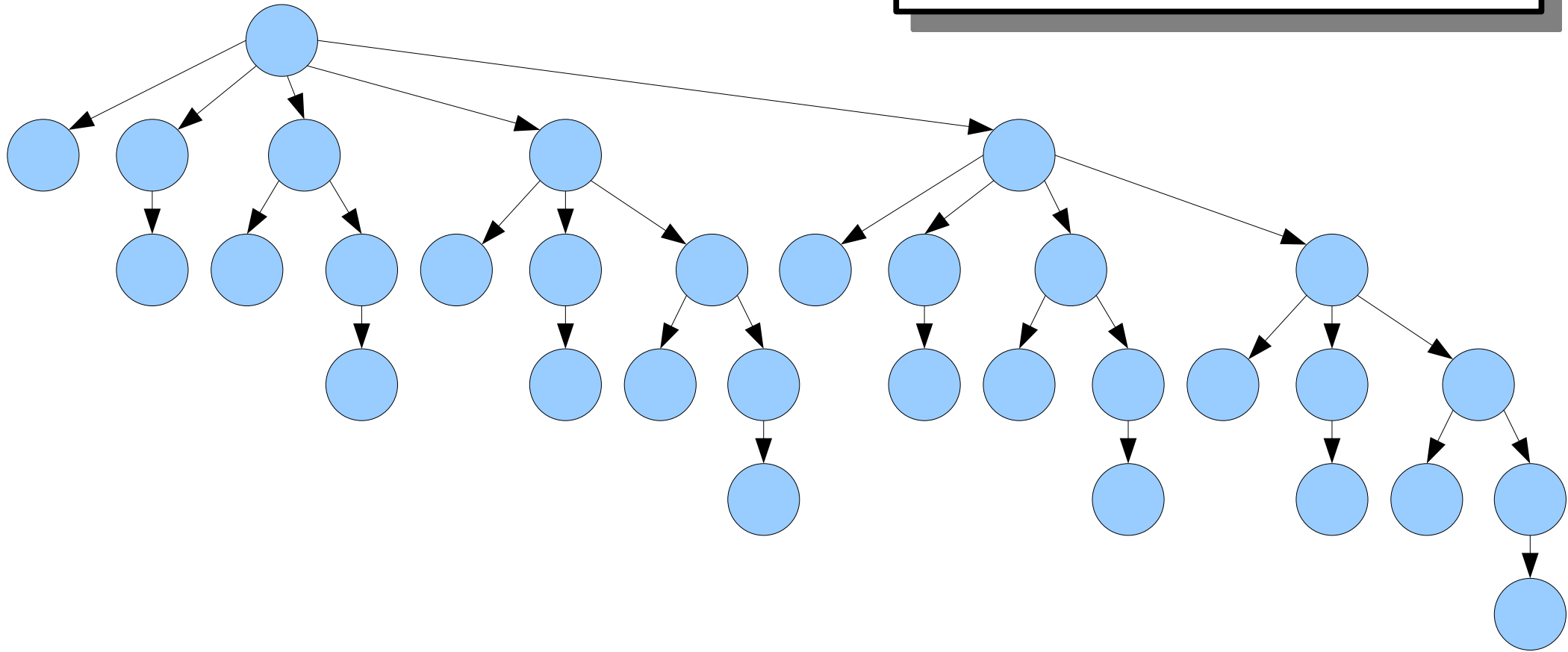
These trees are the base cases for our inductive line of reasoning.

**Theorem:** The minimum number of nodes in a tree of order  $k$  is  $F_{k+2}$ .

*Thanks to former CS166ers Kevin Tan and Max Arseneault for this proof approach!*

A binomial tree  
of order  $k+2$ .

What's the maximum amount of  
damage we can do to this tree  
without cutting any of the direct  
children of the root?

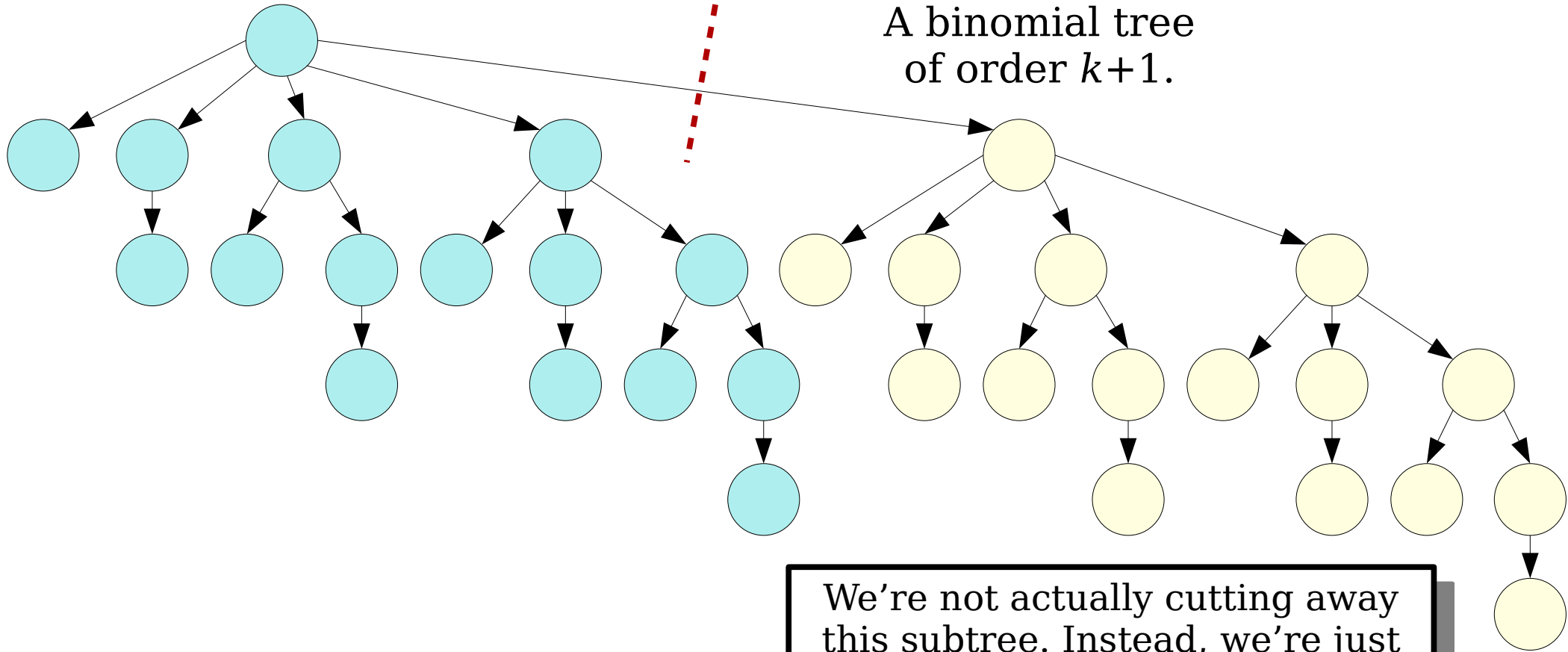


**Theorem:** The minimum number of  
nodes in a tree of order  $k$  is  $F_{k+2}$ .

*Thanks to former CS166ers Kevin Tan and Max Arseneault for this proof approach!*

A binomial tree  
of order  $k+1$ .

A binomial tree  
of order  $k+1$ .

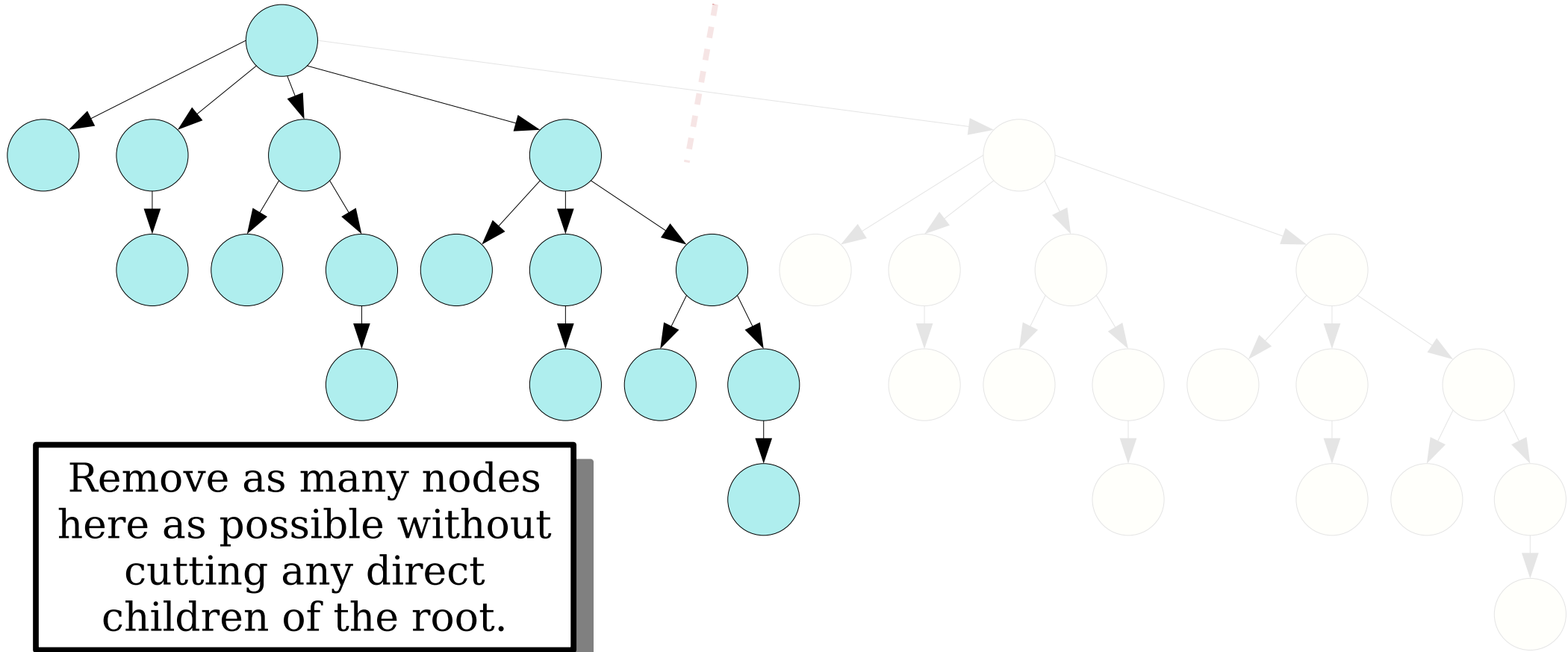


We're not actually cutting away  
this subtree. Instead, we're just  
separating it for accounting  
purposes.

**Theorem:** The minimum number of  
nodes in a tree of order  $k$  is  $F_{k+2}$ .

*Thanks to former CS166ers Kevin Tan and Max Arseneault for this proof approach!*

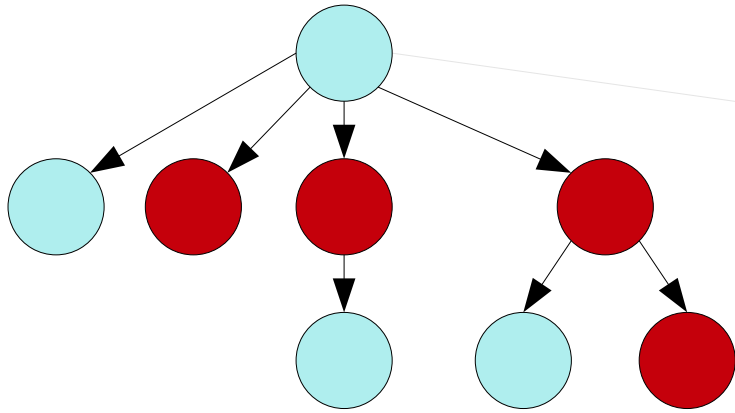
A binomial tree  
of order  $k+1$ .



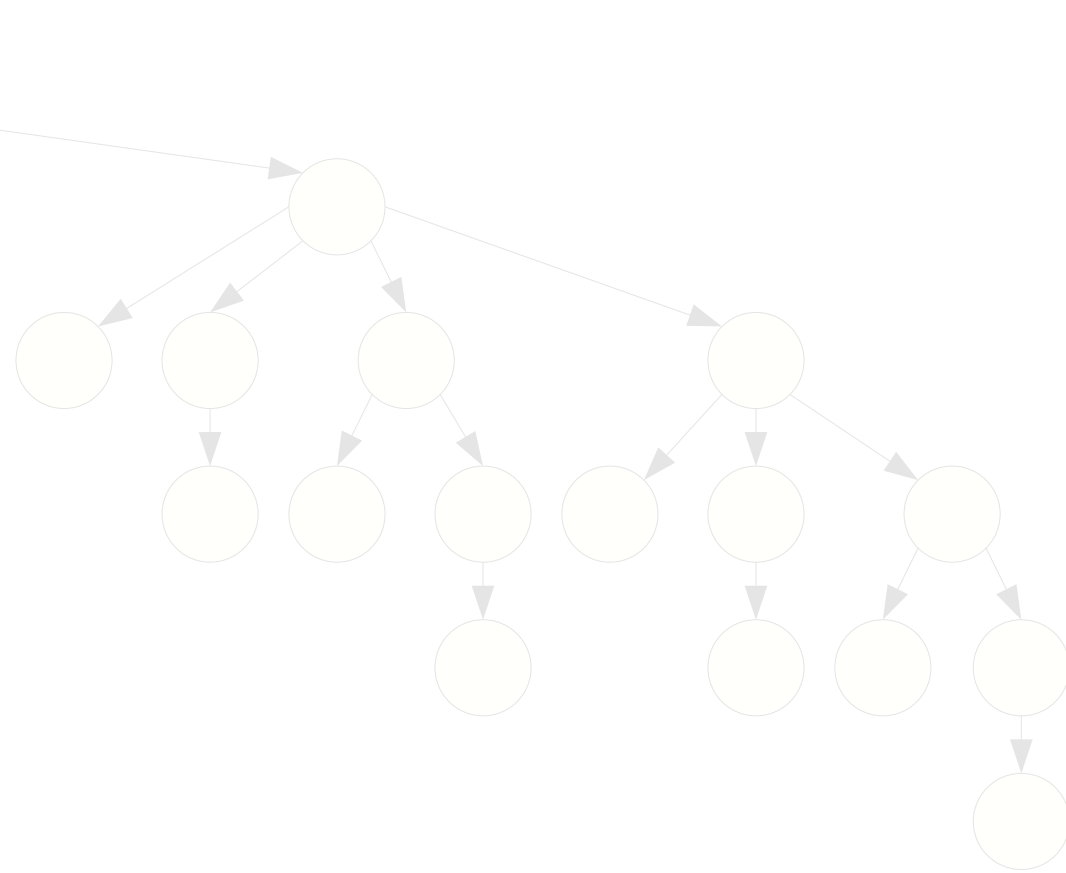
**Theorem:** The minimum number of nodes in a tree of order  $k$  is  $F_{k+2}$ .

*Thanks to former CS166ers Kevin Tan and Max Arseneault for this proof approach!*

A (former) binomial tree of order  $k+1$ .

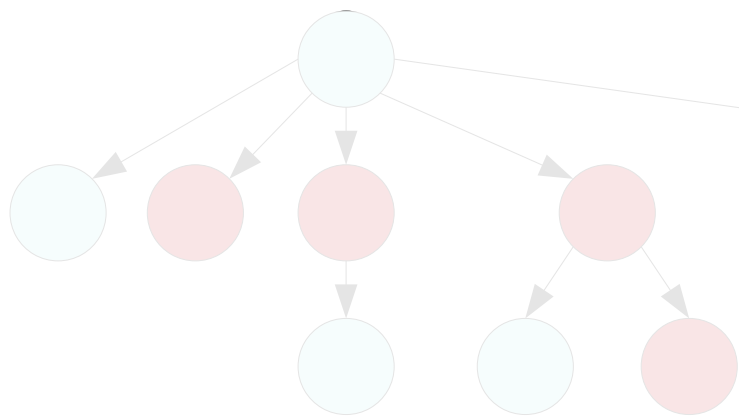


A maximally-damaged tree of order  $k+1$ .



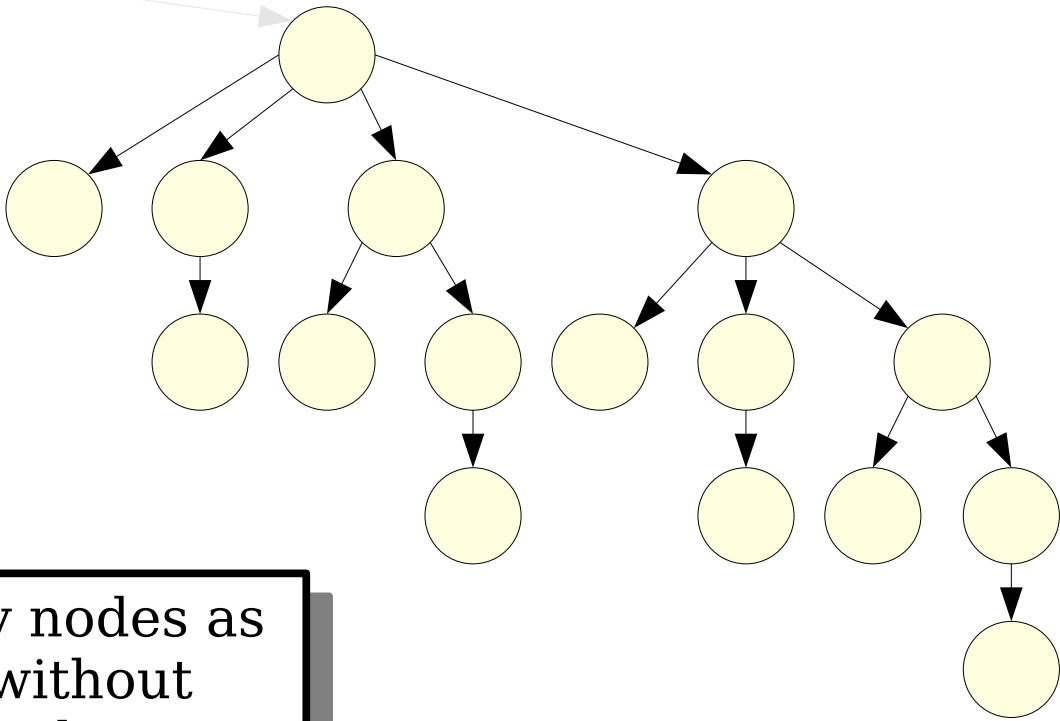
**Theorem:** The minimum number of nodes in a tree of order  $k$  is  $F_{k+2}$ .

*Thanks to former CS166ers Kevin Tan and Max Arseneault for this proof approach!*



A maximally-damaged tree of order  $k+1$ .

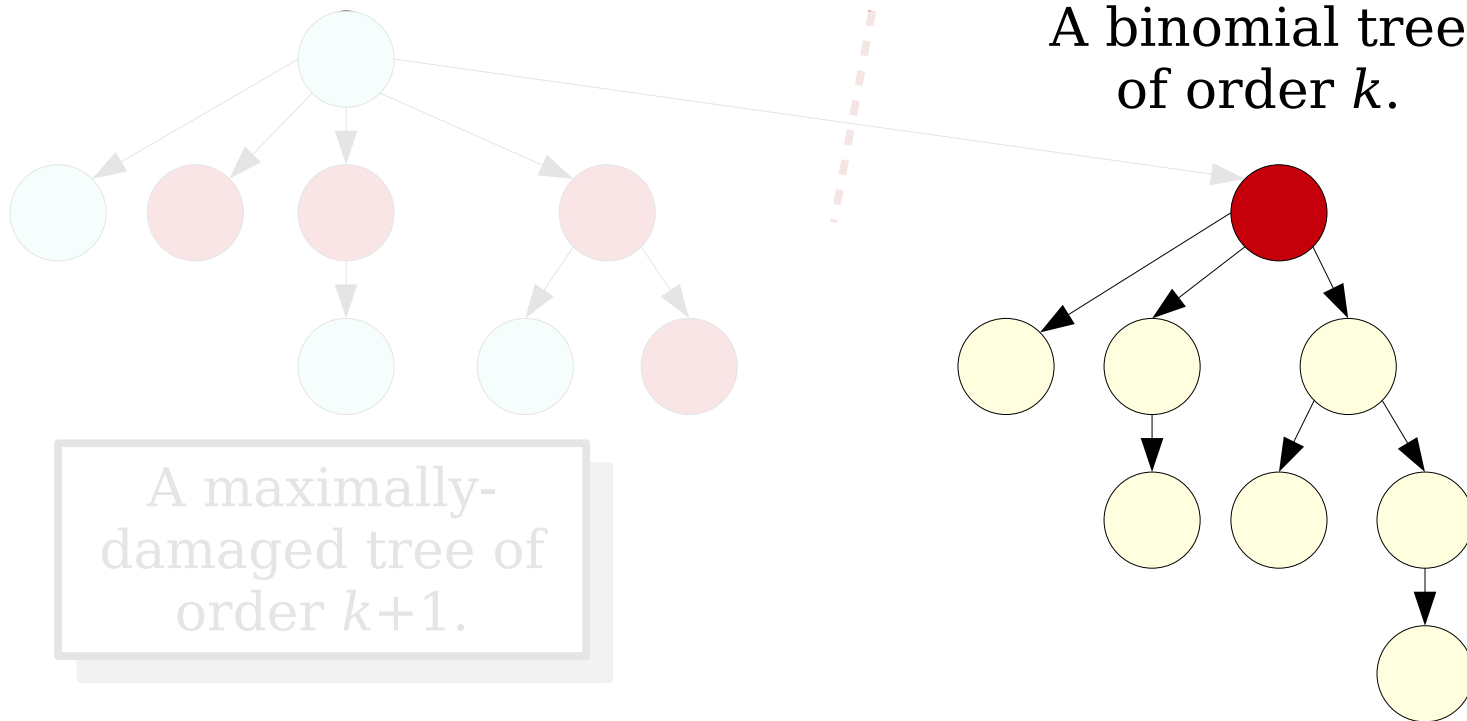
A binomial tree of order  $k+1$ .



Cut as many nodes as possible without cutting more than two children from the root.

**Theorem:** The minimum number of nodes in a tree of order  $k$  is  $F_{k+2}$ .

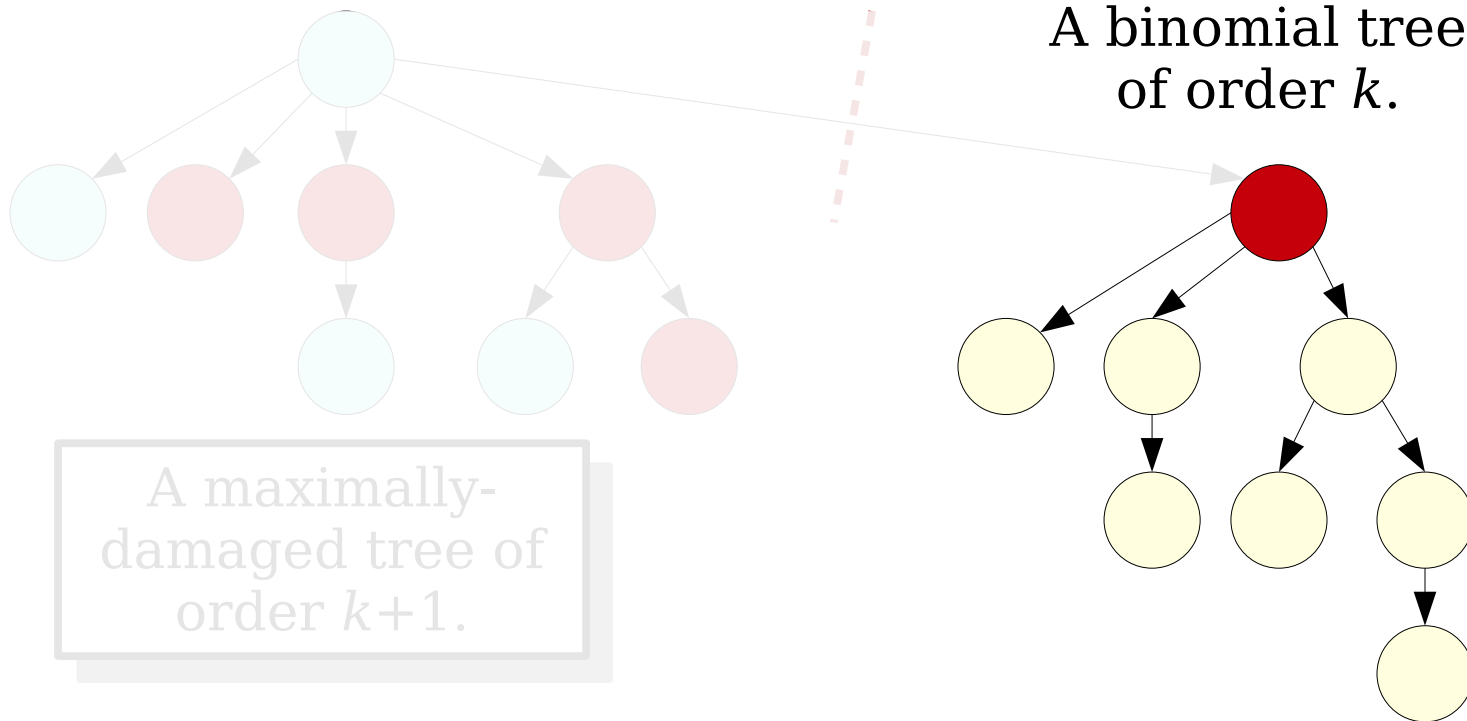
*Thanks to former CS166ers Kevin Tan and Max Arseneault for this proof approach!*



Cut as many nodes as possible without cutting more than two children from the root.

**Theorem:** The minimum number of nodes in a tree of order  $k$  is  $F_{k+2}$ .

*Thanks to former CS166ers Kevin Tan and Max Arseneault for this proof approach!*

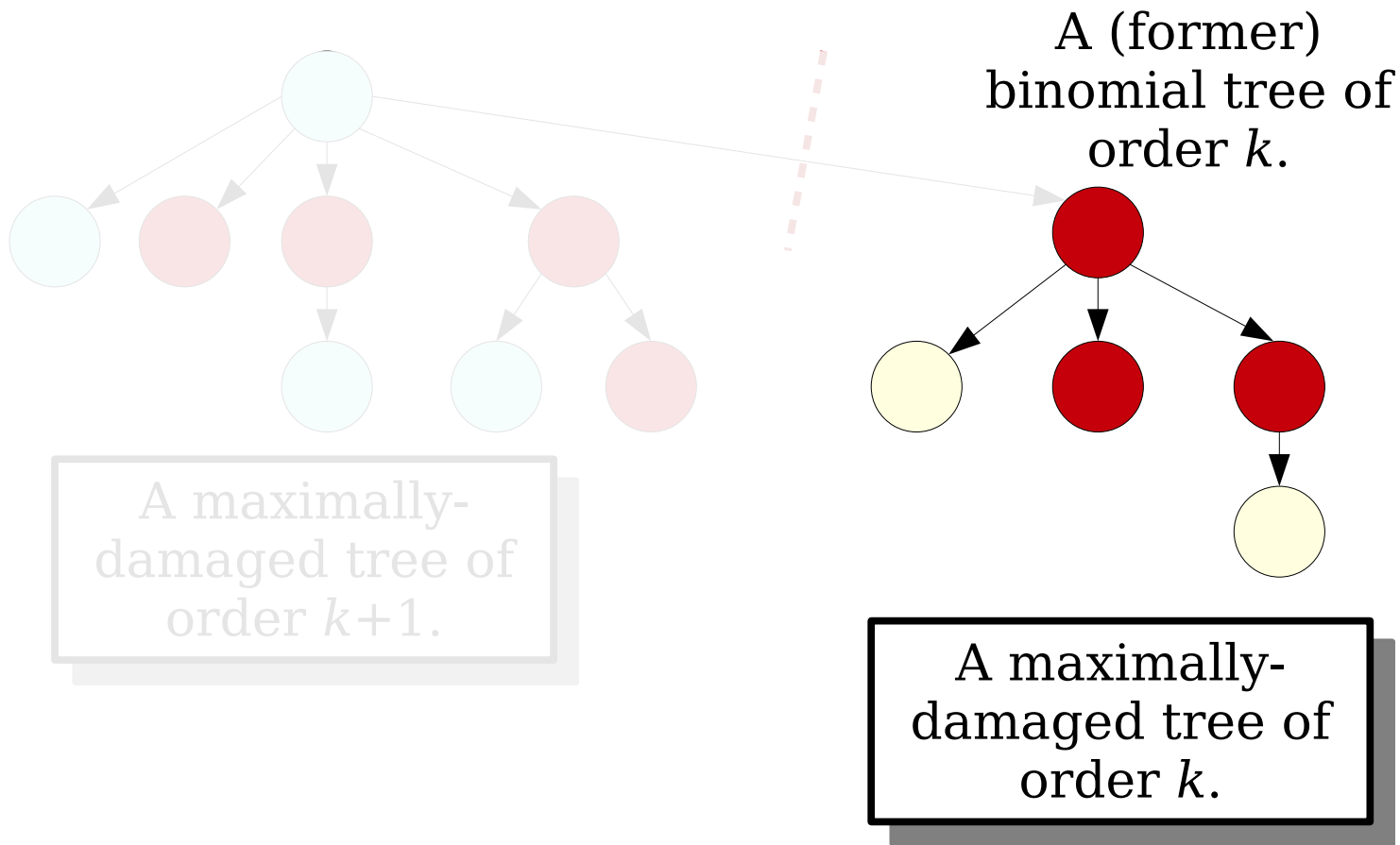


Cut away as many nodes as possible without cutting any children of the root.

**Theorem:** The minimum number of nodes in a tree of order  $k$  is  $F_{k+2}$ .

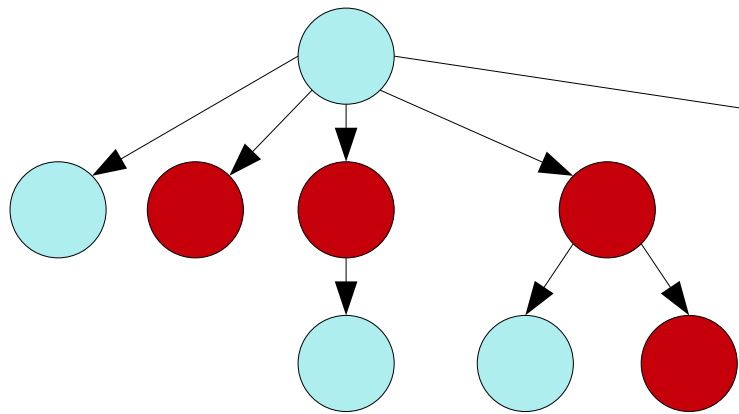
*Thanks to former CS166ers Kevin Tan and Max Arseneault for this proof approach!*



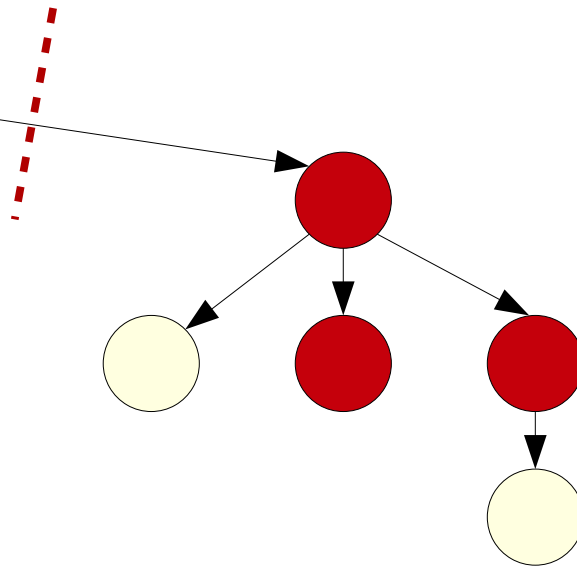


**Theorem:** The minimum number of nodes in a tree of order  $k$  is  $F_{k+2}$ .

*Thanks to former CS166ers Kevin Tan and Max Arseneault for this proof approach!*



A maximally-damaged tree of order  $k+1$ .



A maximally-damaged tree of order  $k$ .

**Theorem:** The minimum number of nodes in a tree of order  $k$  is  $F_{k+2}$ .

*Thanks to former CS166ers Kevin Tan and Max Arseneault for this proof approach!*

**Fact:**  $F_k = \Theta(\varphi^k)$ , where

$$\varphi = \frac{1 + \sqrt{5}}{2}$$

is the golden ratio.

**Corollary:** The number of nodes in a tree of order  $k$  grows exponentially with  $k$  (approximately  $1.61^k$  versus our previous  $2^k$ ).

**Theorem:** The minimum number of nodes in a tree of order  $k$  is  $F_{k+2}$ .

*Thanks to former CS166ers Kevin Tan and Max Arseneault for this proof approach!*

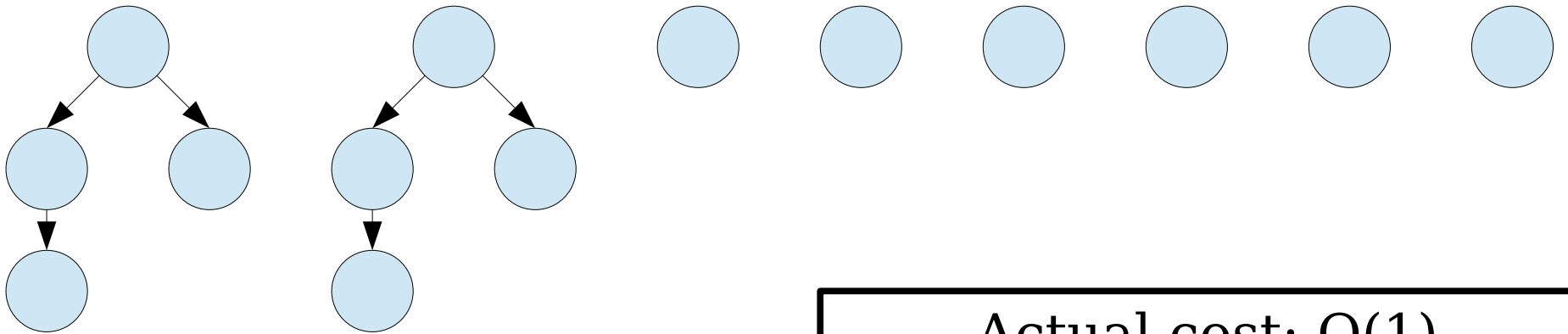
A *Fibonacci heap* is a lazy binomial heap with *decrease-key* implemented using the “lose at most one child” marking scheme.

How fast are the operations  
on Fibonacci heaps?

$$\Phi = t$$

where

$t$  is the number of trees.



Actual cost:  $O(1)$

$\Delta\Phi$ :  $+1$

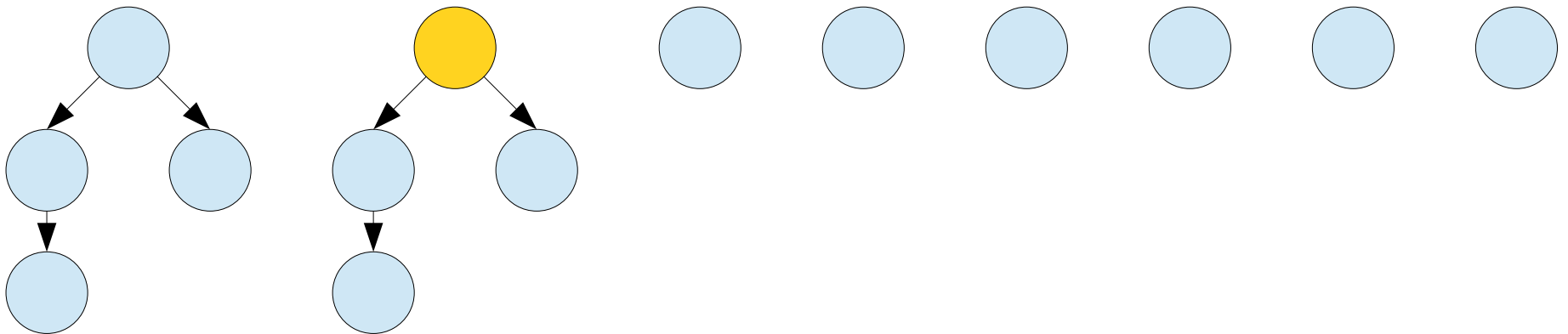
Amortized cost:  **$O(1)$** .

Each *enqueue* slowly introduces trees.  
Each *extract-min* rapidly cleans them up.

$$\Phi = t$$

where

$t$  is the number of trees.

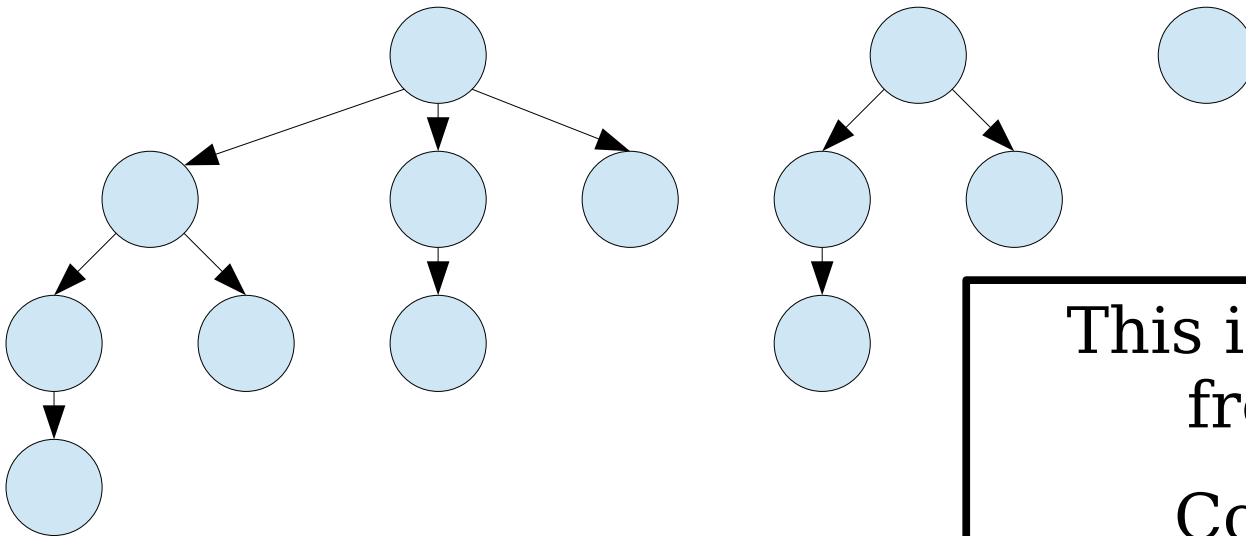


Each *enqueue* slowly introduces trees.  
Each *extract-min* rapidly cleans them up.

$$\Phi = t$$

where

$t$  is the number of trees.



This is the same analysis  
from last lecture!

Cost:  $O(t + \log n)$ .

$\Delta\Phi$ :  $O(-t + \log n)$ .

Amortized cost:  **$O(\log n)$** .

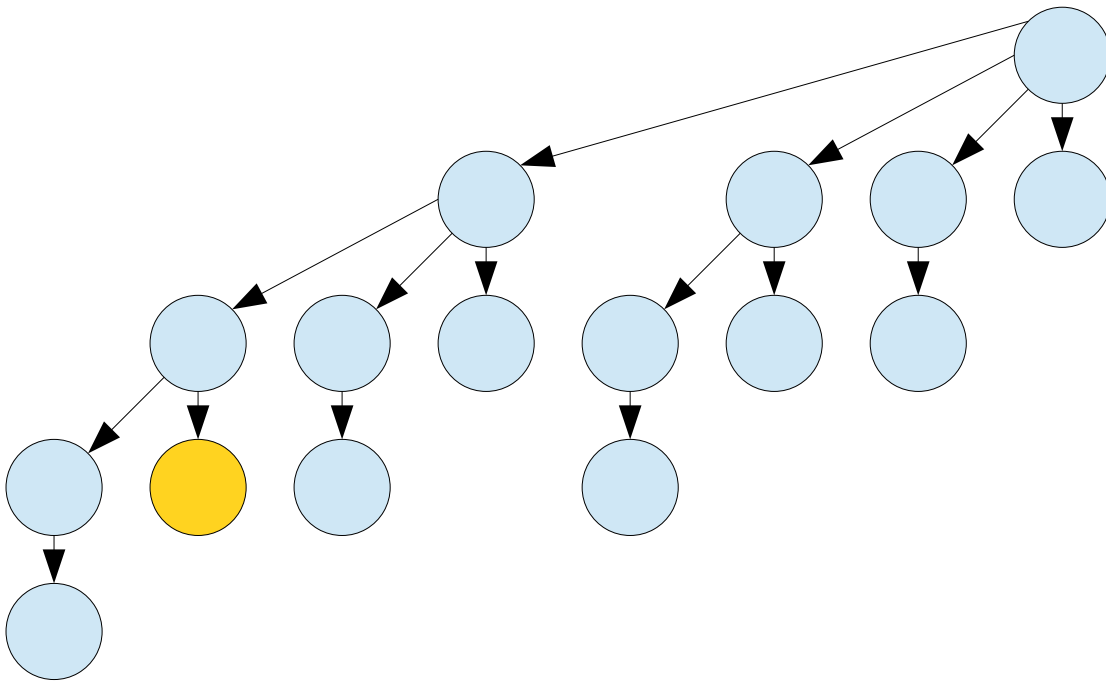
Each *enqueue* slowly introduces trees.  
Each *extract-min* rapidly cleans them up.



$$\Phi = t$$

where

$t$  is the number of trees.

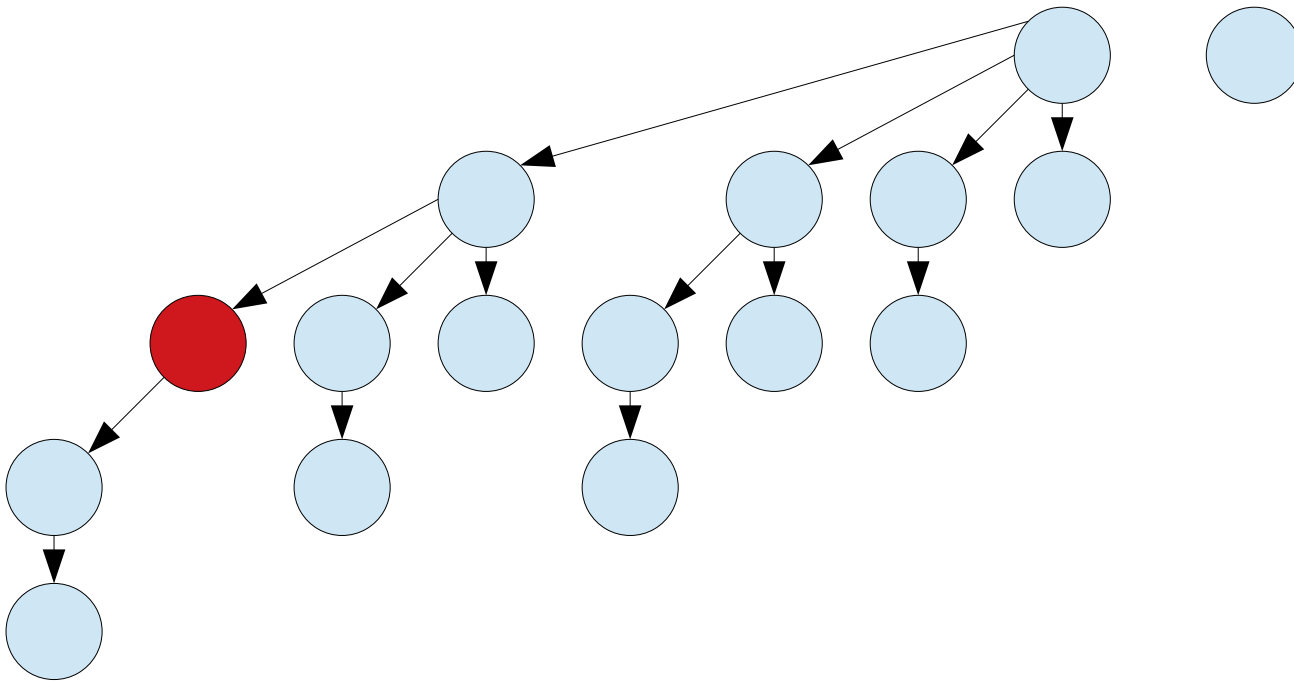


Each **decrease-key** may trigger a chain of cuts.  
Those chains happen due to previous **decrease-keys**.

$$\Phi = t$$

where

$t$  is the number of trees.

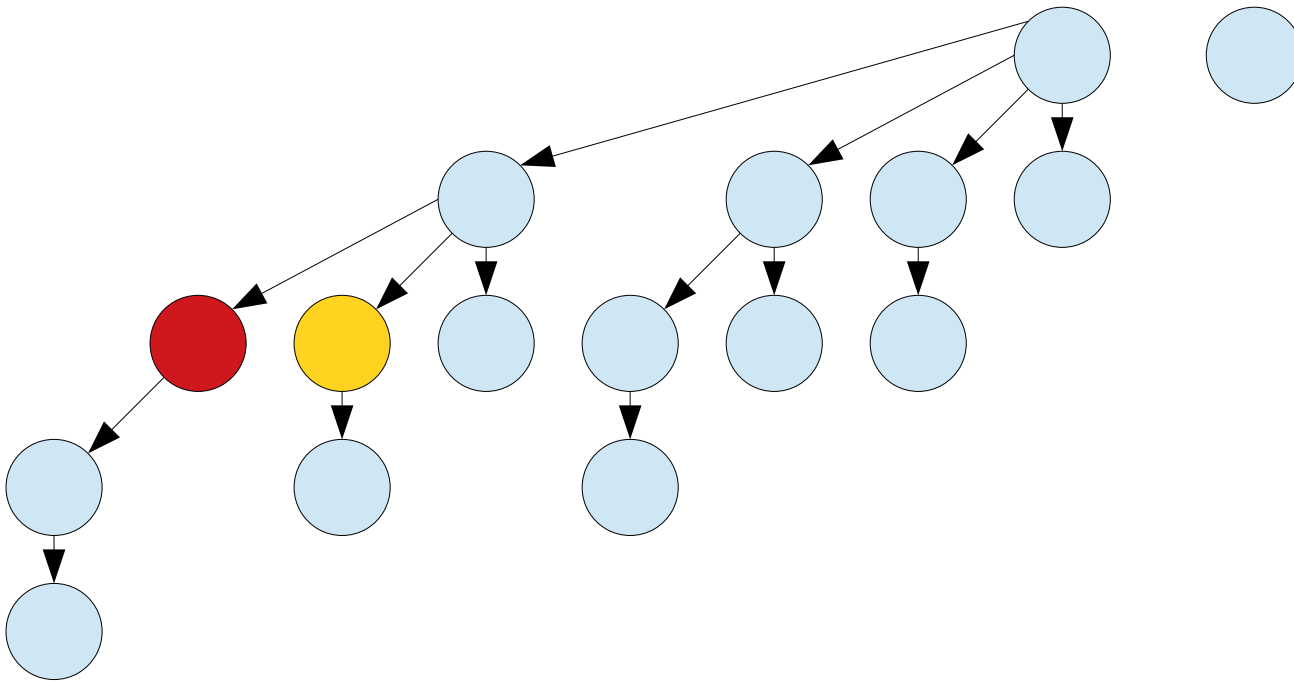


Each ***decrease-key*** may trigger a chain of cuts.  
Those chains happen due to previous ***decrease-keys***.

$$\Phi = t$$

where

$t$  is the number of trees.

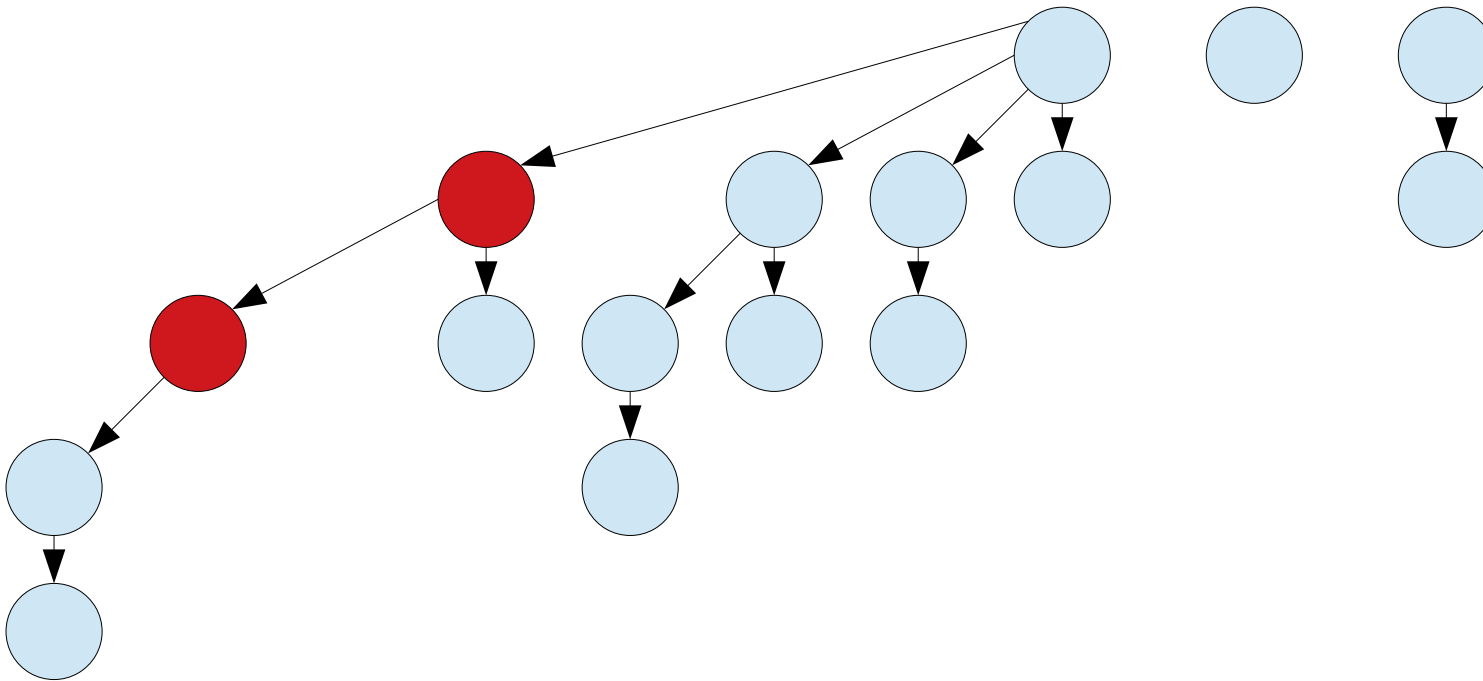


Each **decrease-key** may trigger a chain of cuts.  
Those chains happen due to previous **decrease-keys**.

$$\Phi = t$$

where

$t$  is the number of trees.

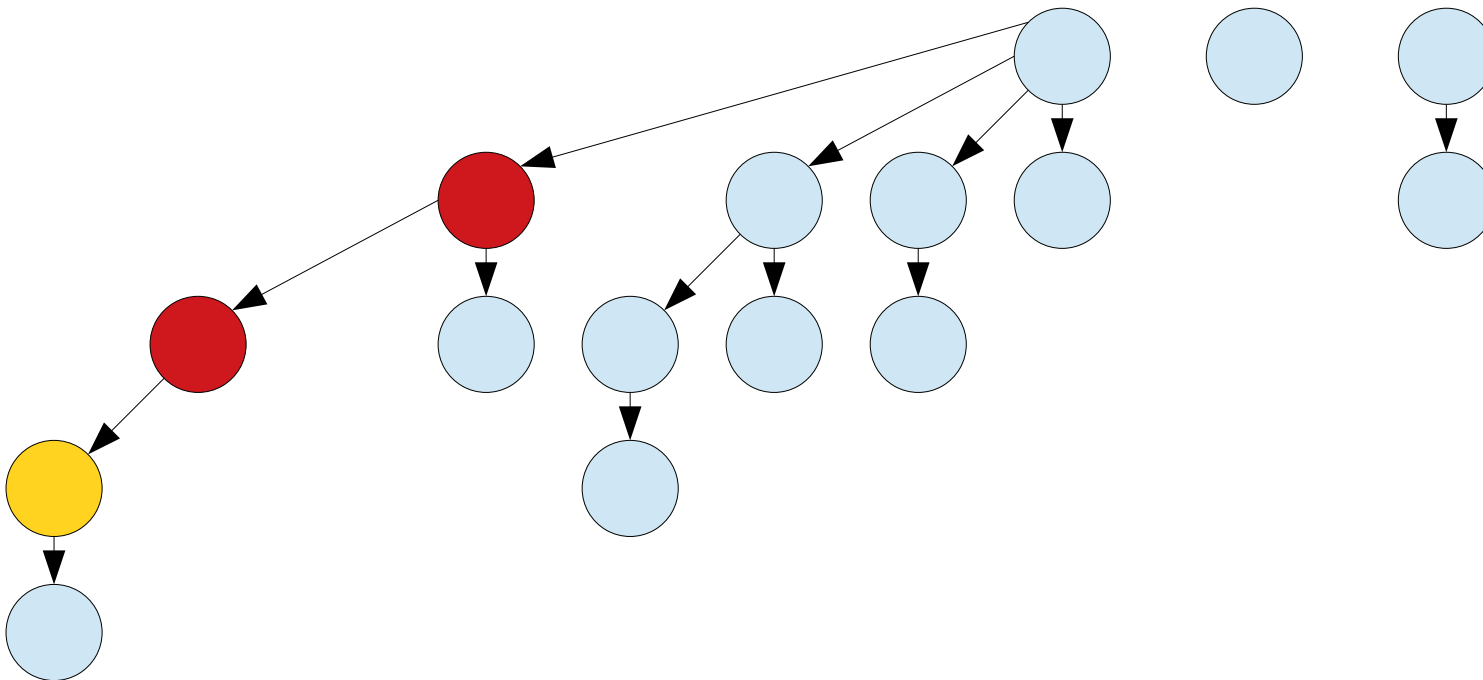


Each **decrease-key** may trigger a chain of cuts.  
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$$\Phi = t$$

where

$t$  is the number of trees.

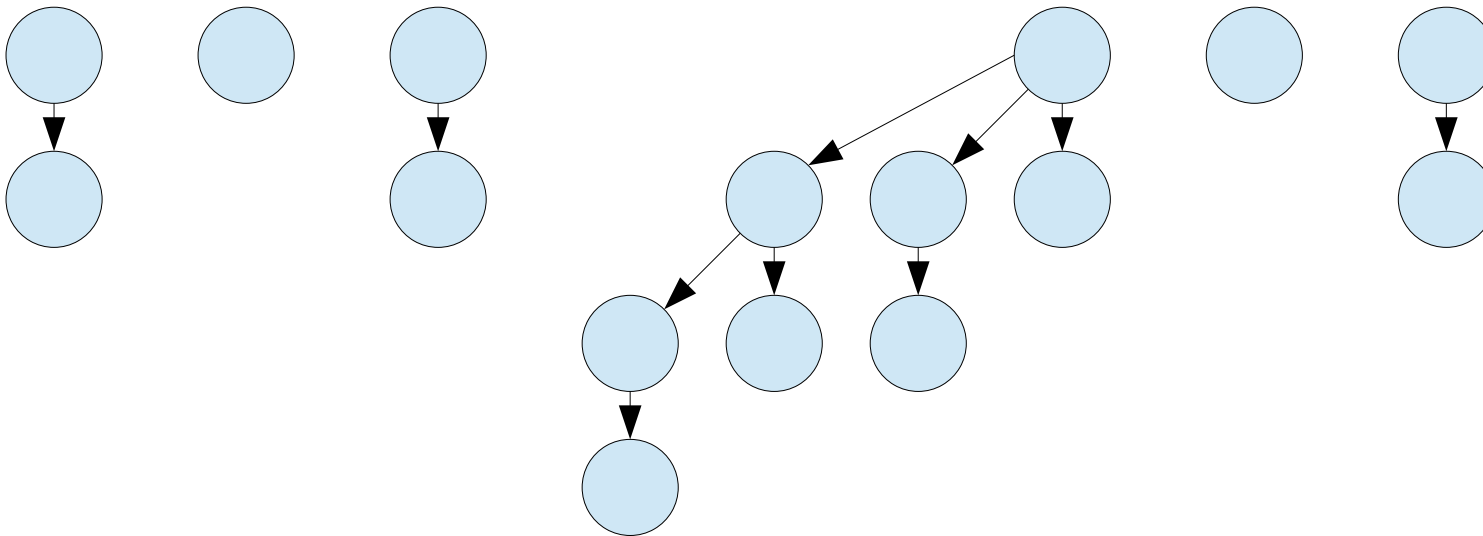


Each **decrease-key** may trigger a chain of cuts.  
Those chains happen due to previous **decrease-keys**.

$$\Phi = t$$

where

$t$  is the number of trees.

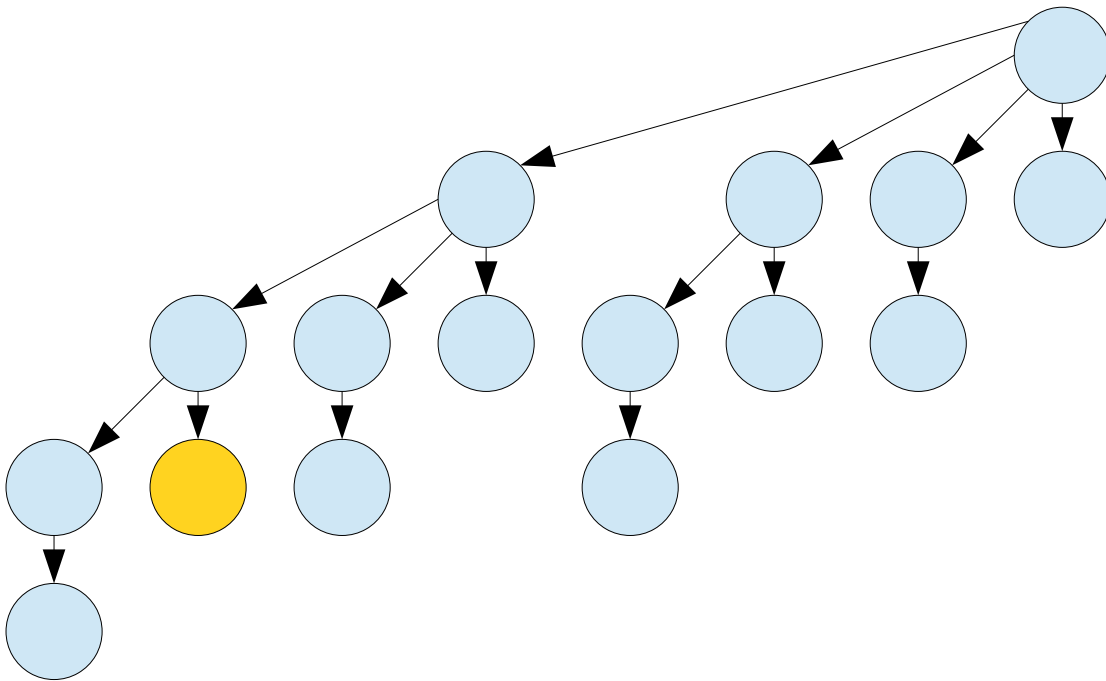


Each **decrease-key** may trigger a chain of cuts.  
Those chains happen due to previous **decrease-keys**.

$$\Phi = t + m$$

where

$t$  is the number of trees and  
 $m$  is the number of marked nodes.

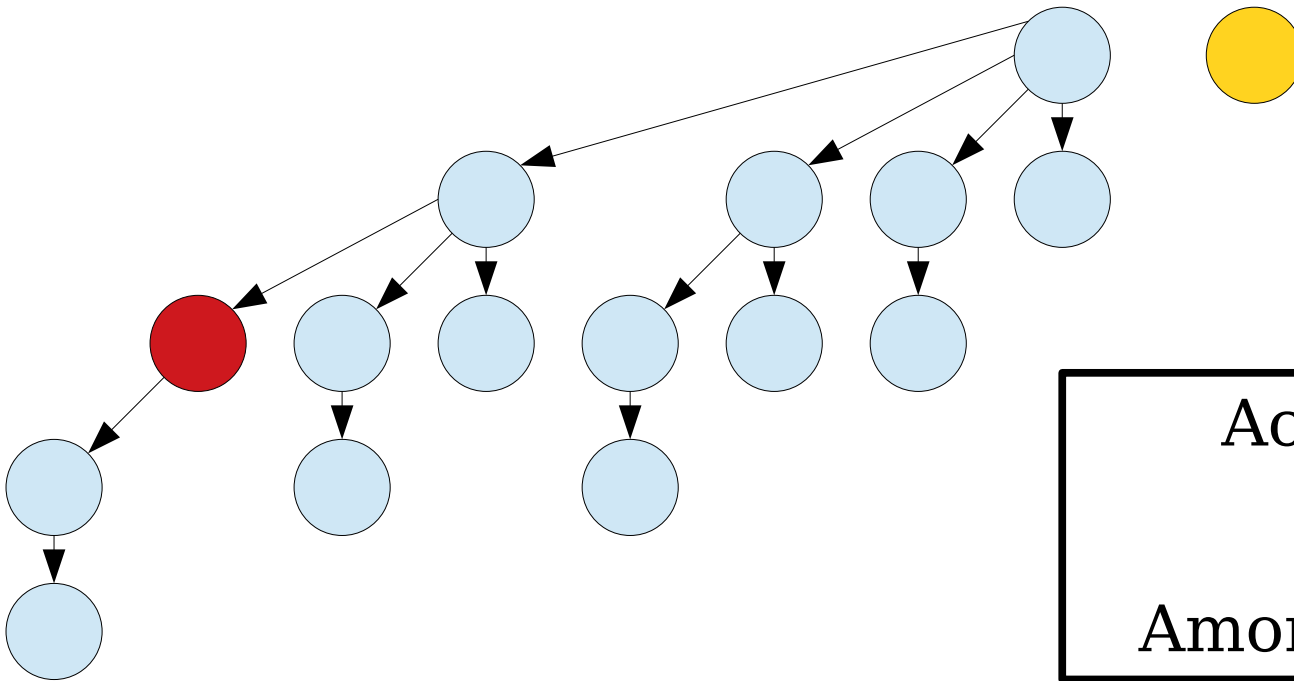


**Idea:** Factor the number of marked nodes into our potential to offset the cost of cascading cuts.

$$\Phi = t + m$$

where

$t$  is the number of trees and  
 $m$  is the number of marked nodes.



Actual cost:  $O(1)$

$\Delta\Phi$ : +2.

Amortized cost:  **$O(1)$** .

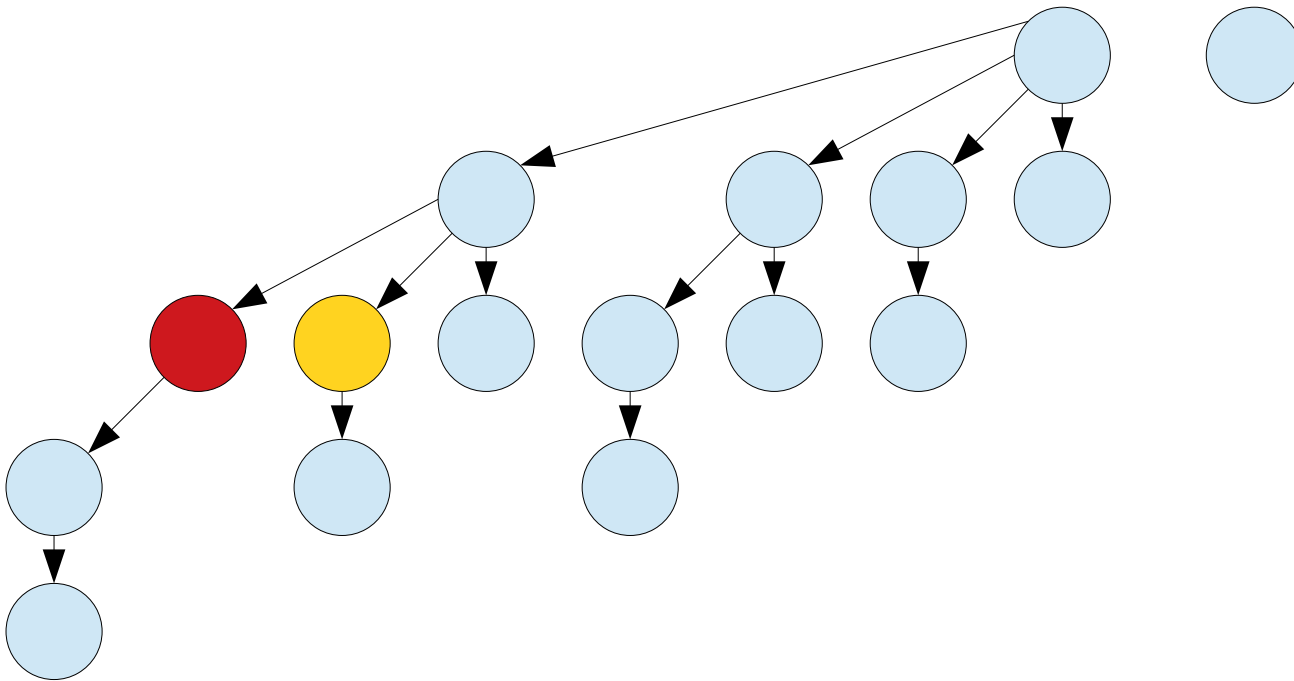
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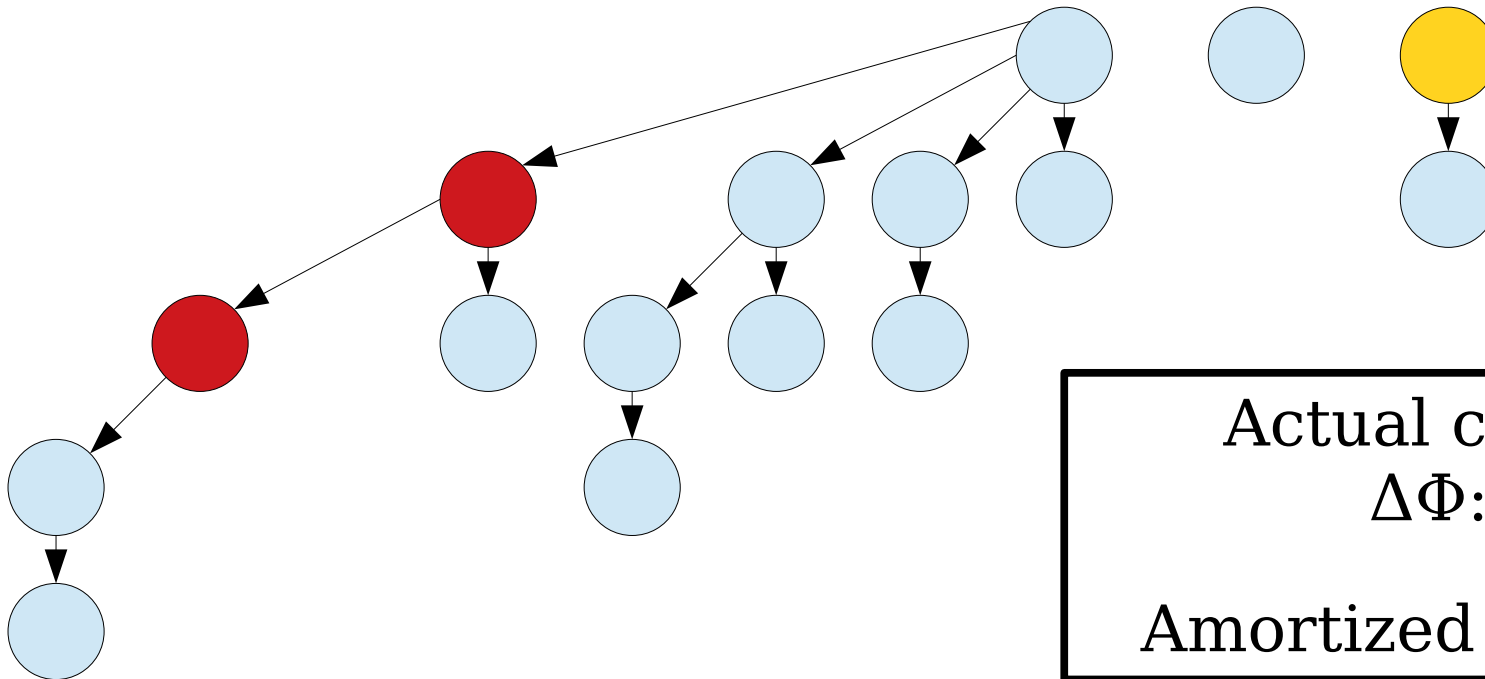


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Actual cost:  $O(1)$

$\Delta\Phi: +2.$

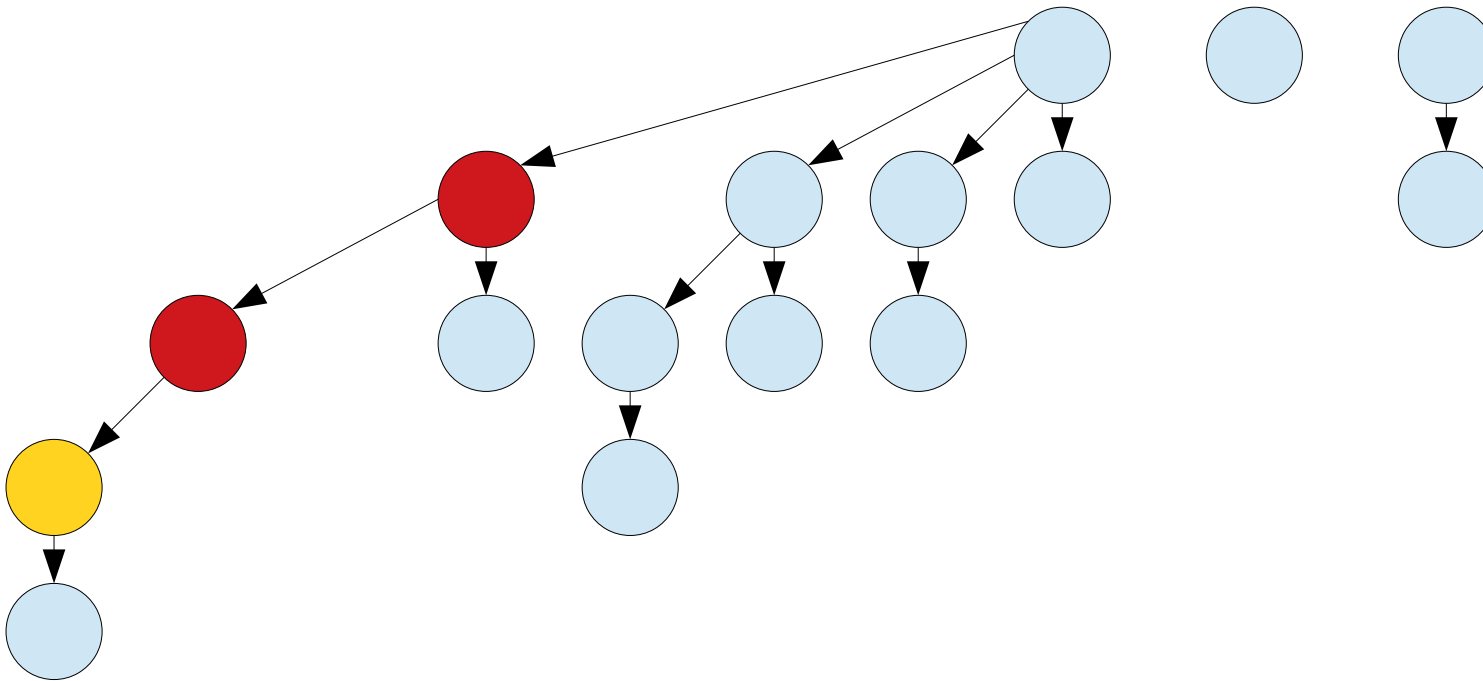
Amortized cost:  **$O(1)$** .

**Idea:** Factor the number of marked nodes into our potential to offset the cost of cascading cuts.

$$\Phi = t + m$$

where

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 $m$  is the number of marked nodes.

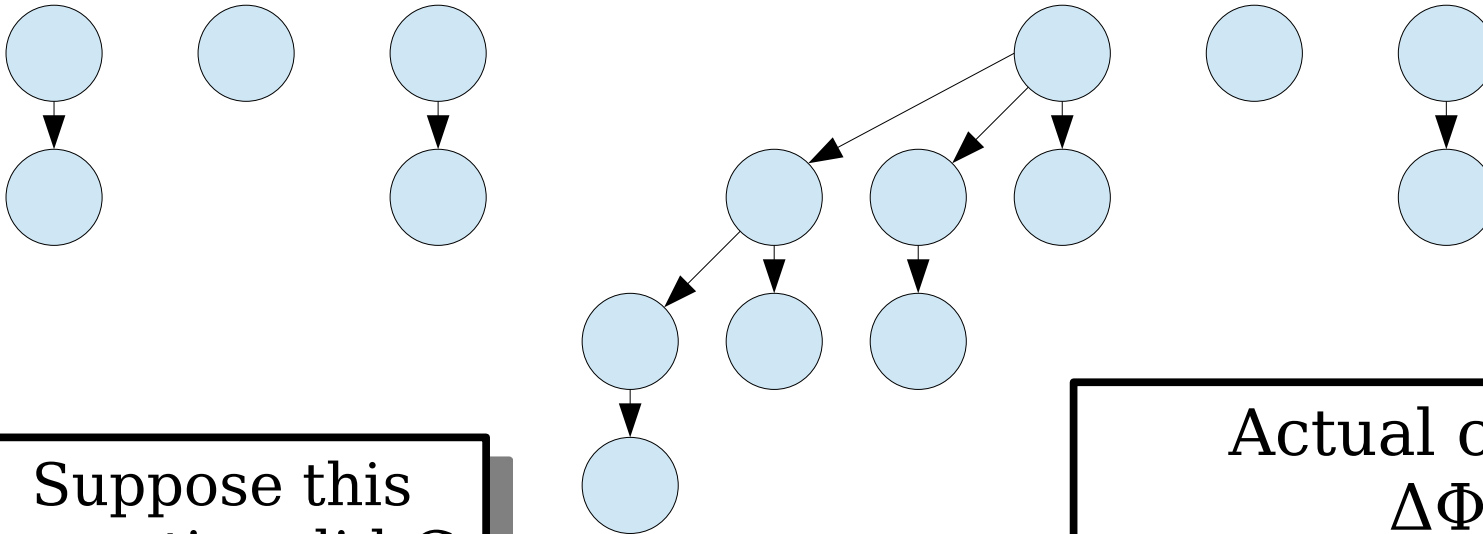


**Idea:** Factor the number of marked nodes into our potential to offset the cost of cascading cuts.

$$\Phi = t + m$$

where

$t$  is the number of trees and  
 $m$  is the number of marked nodes.



Suppose this  
operation did  $C$   
total cuts.

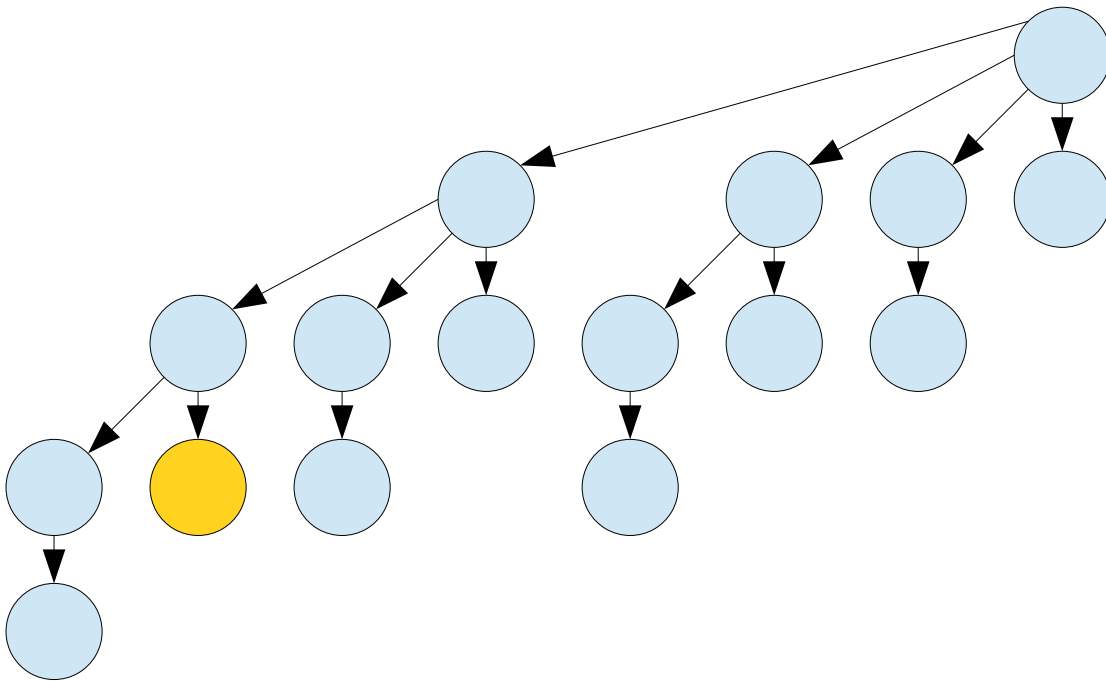
Actual cost:  $O(C)$   
 $\Delta\Phi: +1$   
Amortized cost:  **$O(C)$** .

**Idea:** Factor the number of marked nodes into our potential to offset the cost of cascading cuts.

$$\Phi = t + 2m$$

where

$t$  is the number of trees and  
 $m$  is the number of marked nodes.

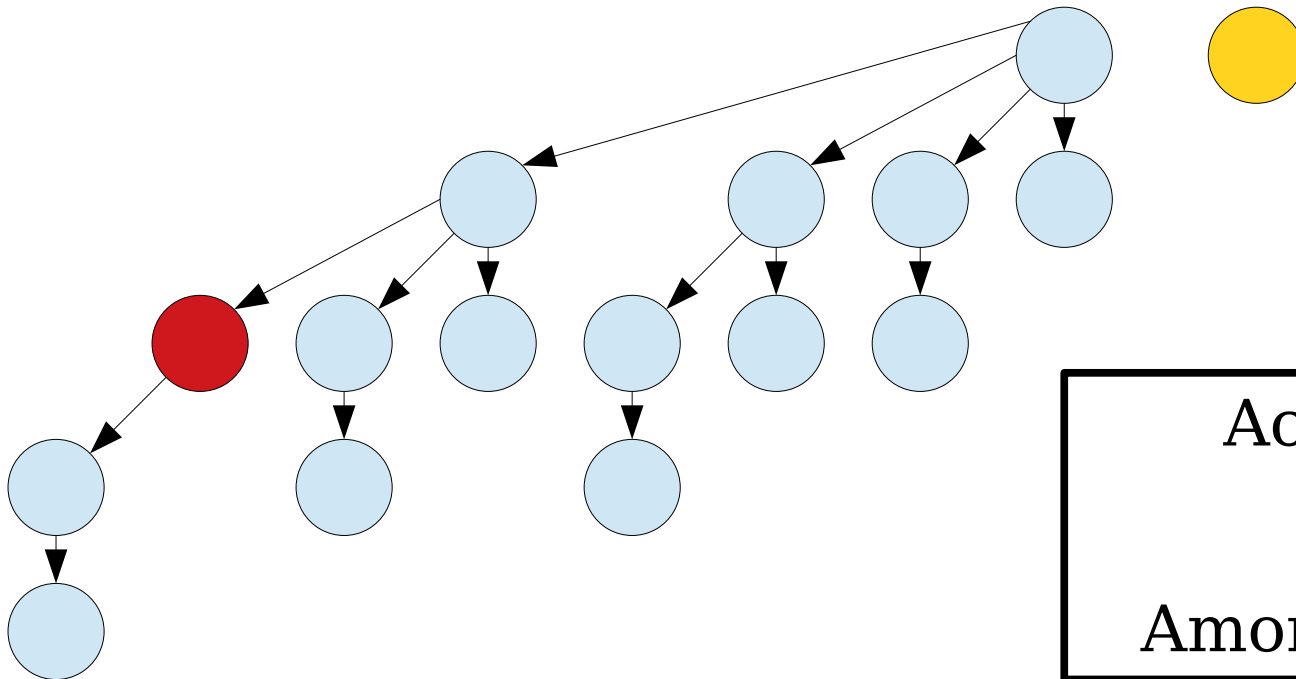


**Idea 2:** Each *decrease-key* hurts twice: once in a cascading cut, and once in an *extract-min*.

$$\Phi = t + 2m$$

where

$t$  is the number of trees and  
 $m$  is the number of marked nodes.



Actual cost:  $O(1)$

$\Delta\Phi$ : +3.

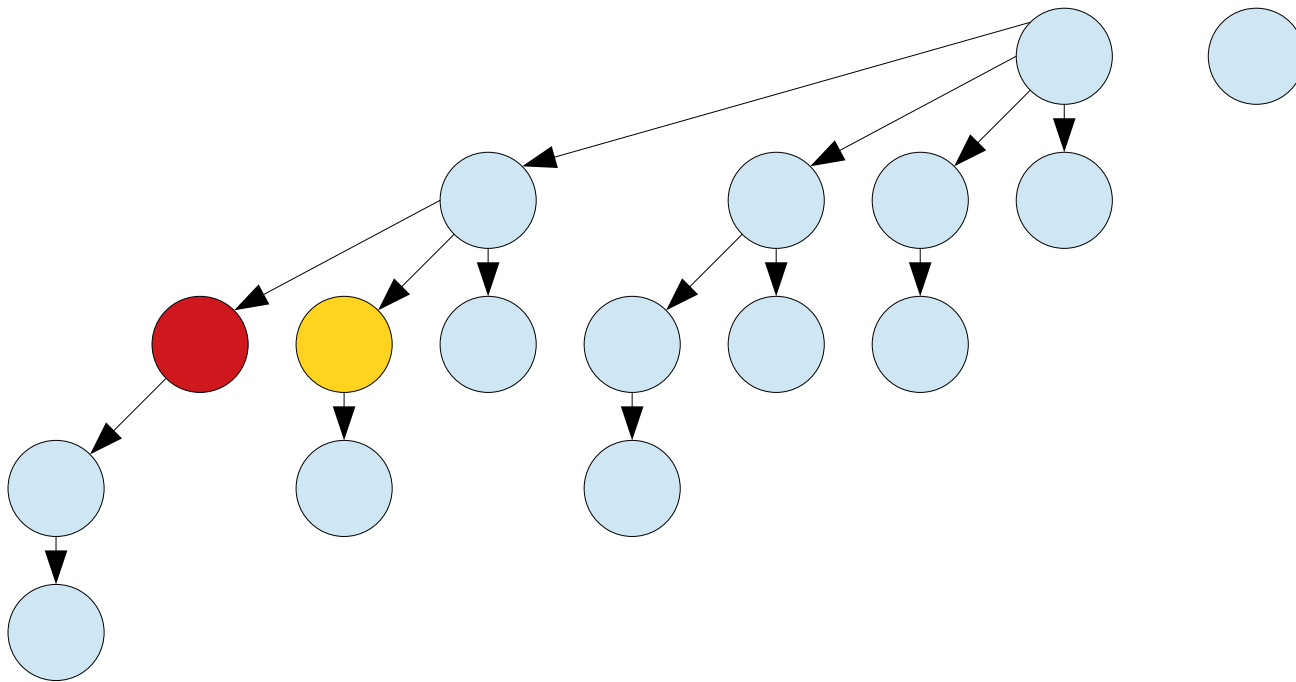
Amortized cost:  **$O(1)$** .

**Idea 2:** Each *decrease-key* hurts twice: once in a cascading cut, and once in an *extract-min*.

$$\Phi = t + 2m$$

where

$t$  is the number of trees and  
 $m$  is the number of marked nodes.

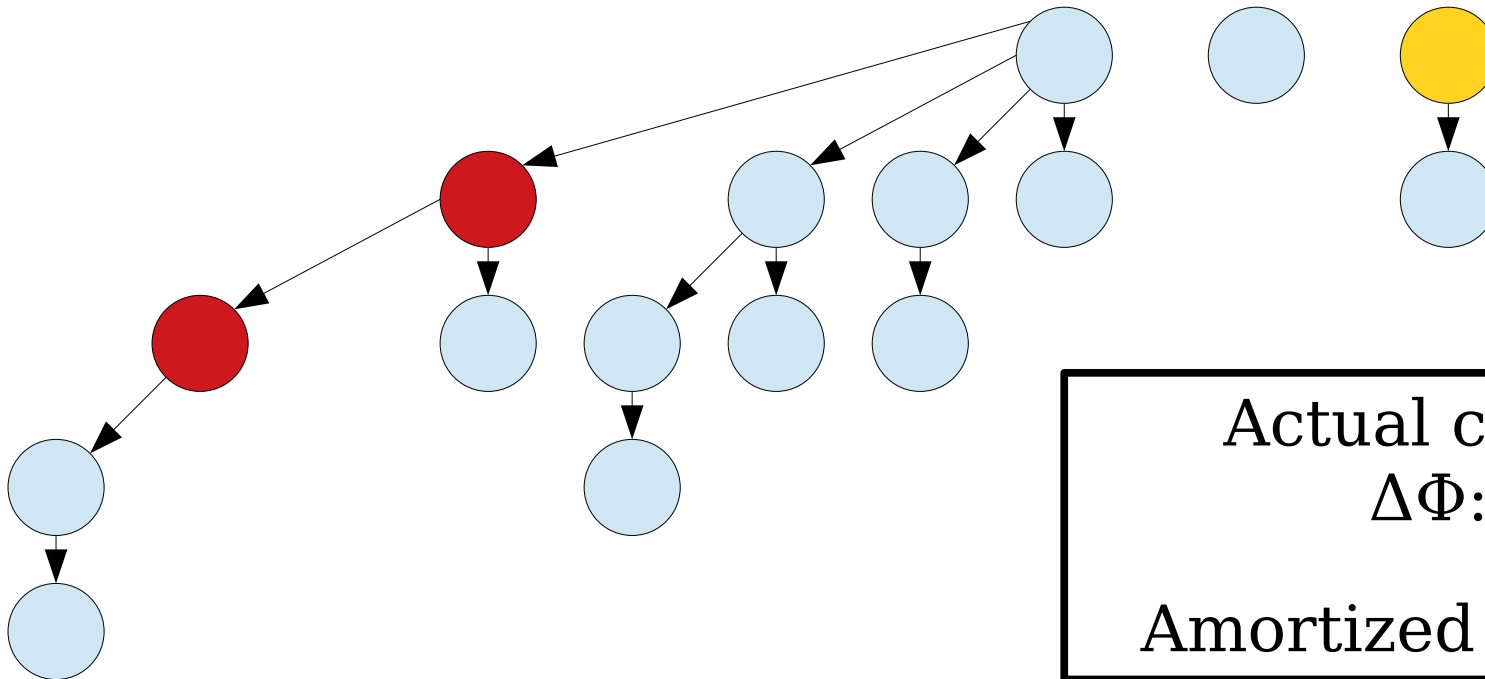


**Idea 2:** Each *decrease-key* hurts twice: once in a cascading cut, and once in an *extract-min*.

$$\Phi = t + 2m$$

where

$t$  is the number of trees and  
 $m$  is the number of marked nodes.



Actual cost:  $O(1)$

$\Delta\Phi$ : +3.

Amortized cost:  **$O(1)$** .

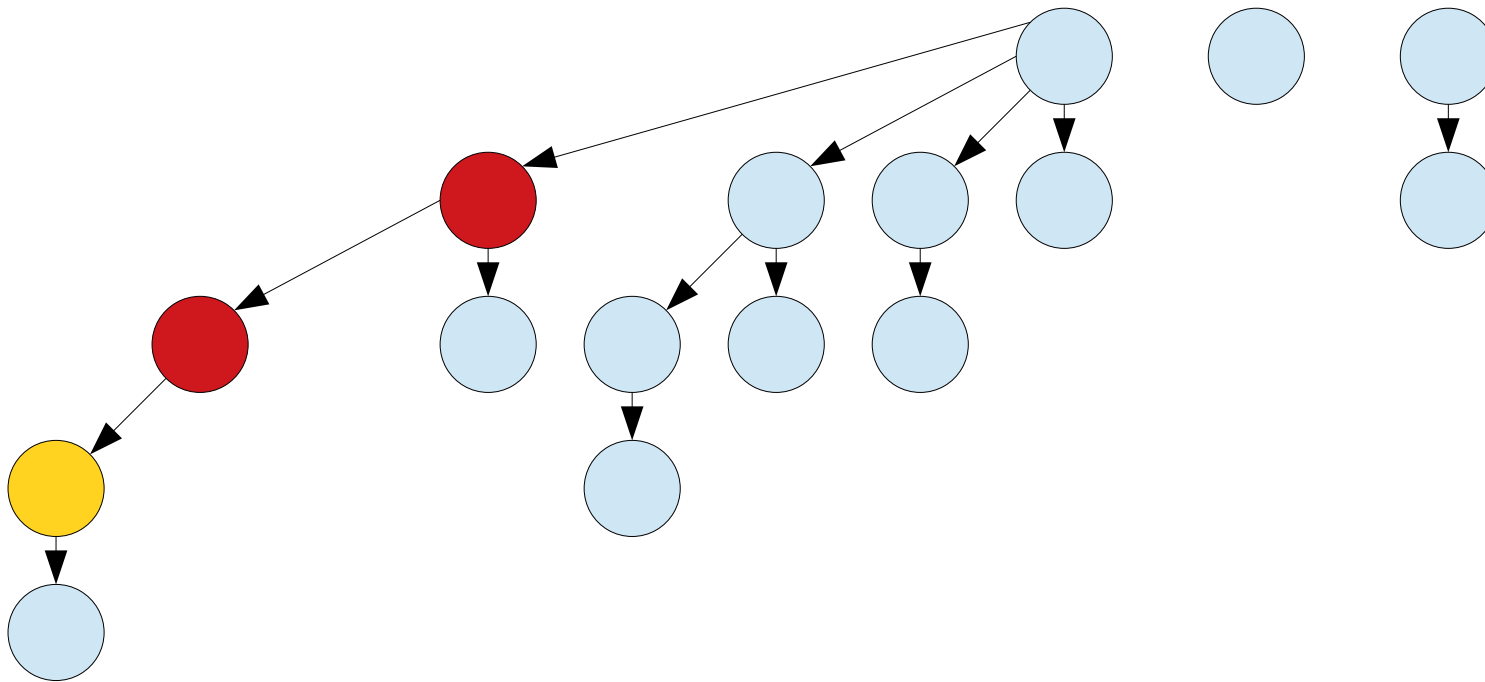
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where

$t$  is the number of trees and  
 $m$  is the number of marked nodes.

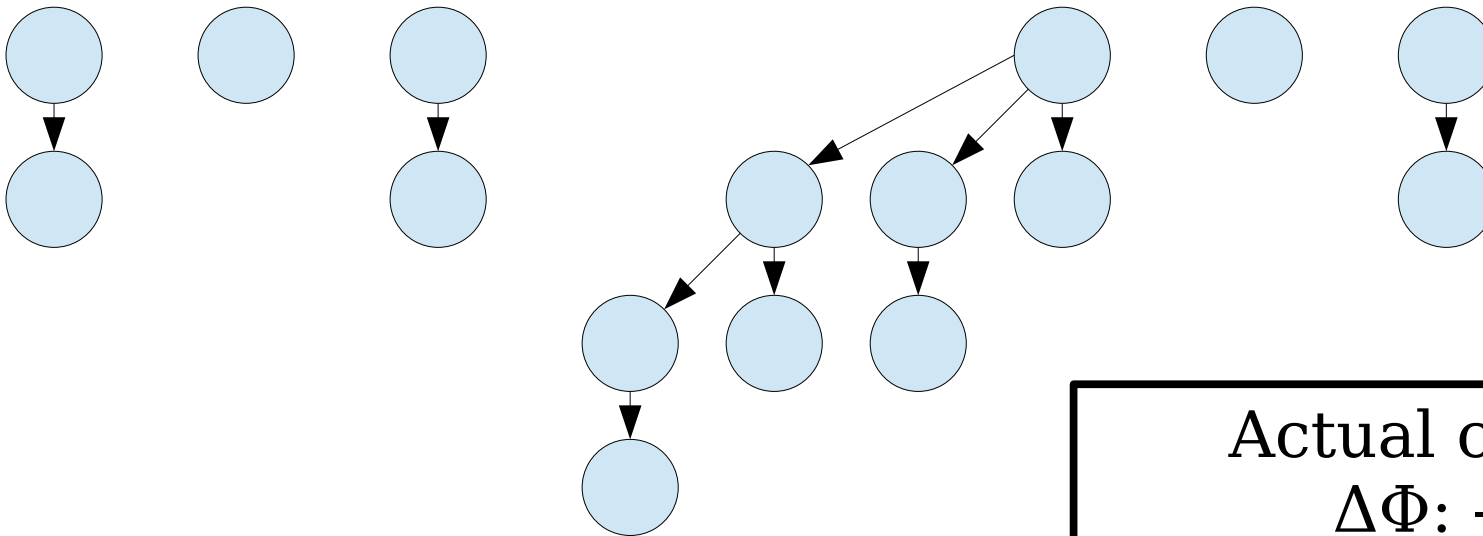


**Idea 2:** Each *decrease-key* hurts twice: once in a cascading cut, and once in an *extract-min*.

$$\Phi = t + 2m$$

where

$t$  is the number of trees and  
 $m$  is the number of marked nodes.



Actual cost:  $O(C)$

$\Delta\Phi: -C + 1$

Amortized cost:  **$O(1)$** .

**Idea 2:** Each *decrease-key* hurts twice: once in a cascading cut, and once in an *extract-min*.

# The Overall Analysis

- Here's the final scorecard for the Fibonacci heap.
- These are excellent theoretical runtimes. There's minimal room for improvement!
- Later work made all these operations *worst-case efficient* at a significant increase in both runtime and intellectual complexity.

***enqueue***:  $O(1)$

***find-min***:  $O(1)$

***meld***:  $O(1)$

***extract-min***:  $O(\log n)^*$

***decrease-key***:  $O(1)^*$

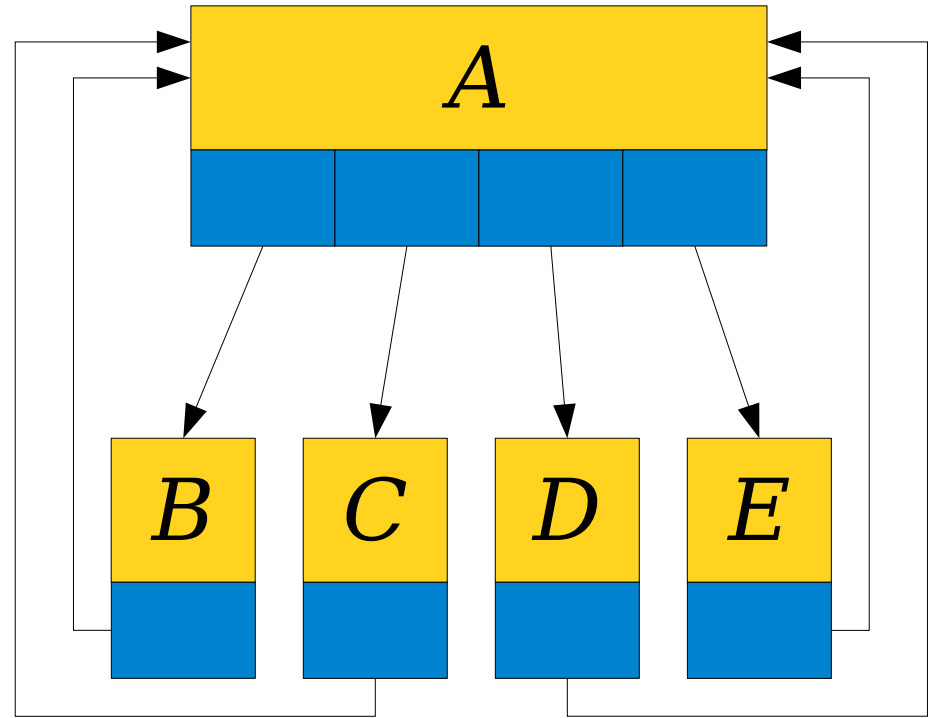
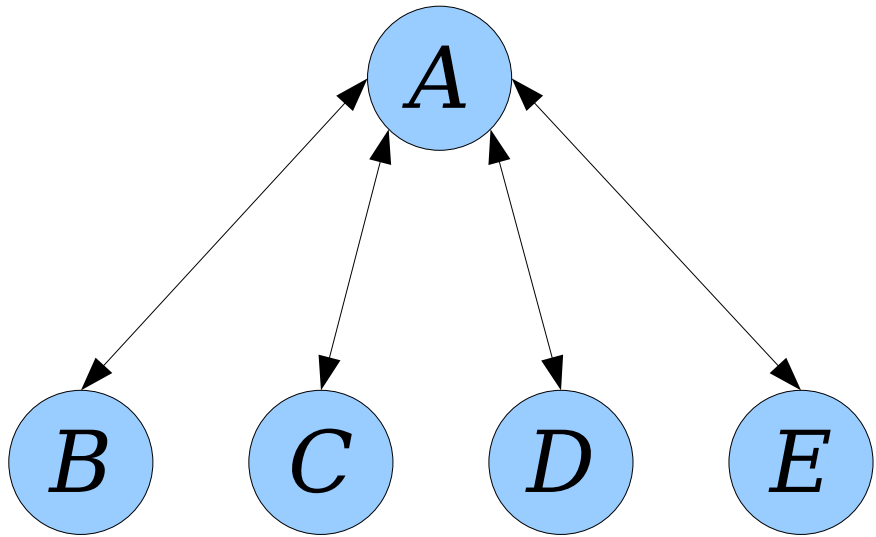
*\*amortized*

# Representation Issues

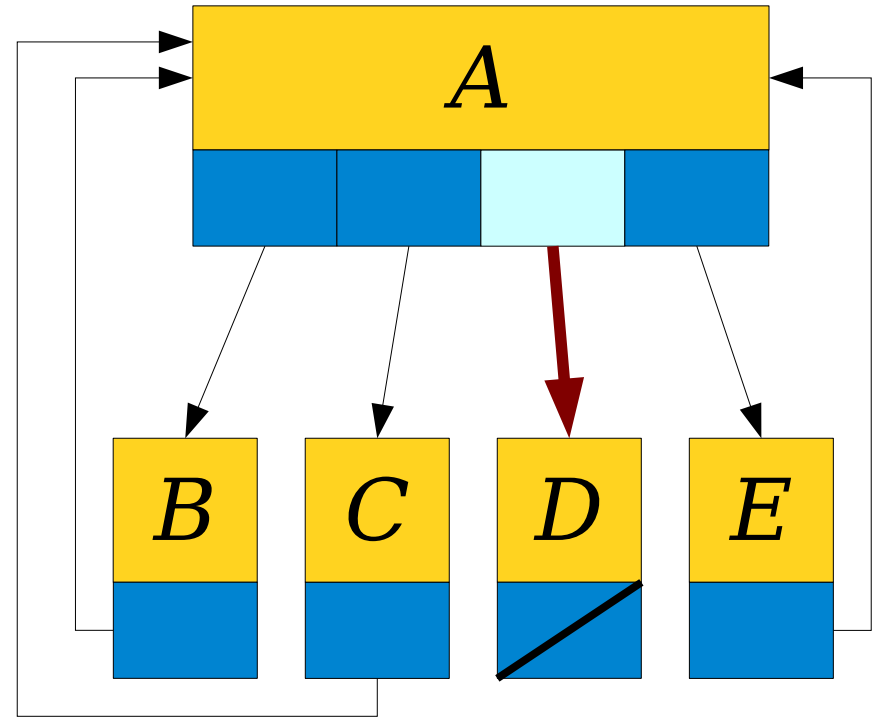
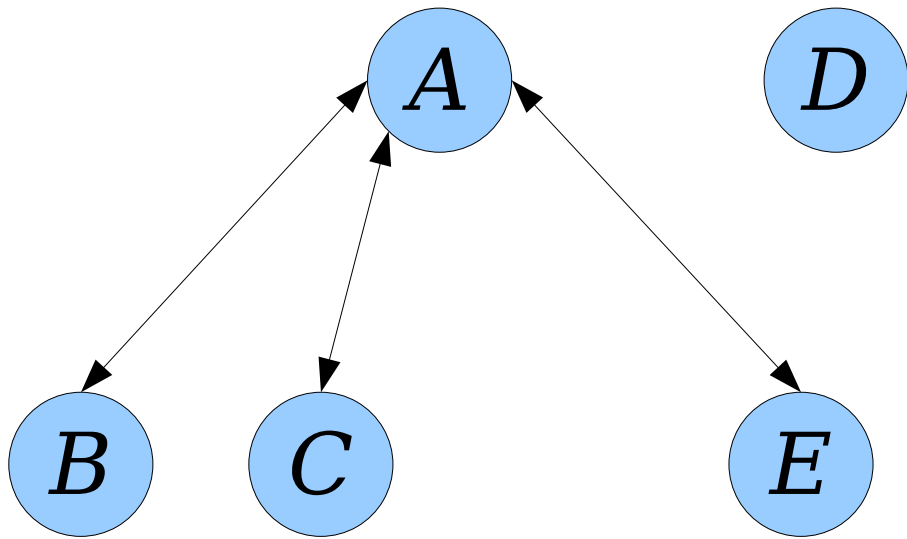
# Representing Trees

- The trees in a Fibonacci heap must be able to do the following:
  - During a merge: Add one tree as a child of the root of another tree.
  - During a cut: Cut a node from its parent in time  $O(1)$ .
- ***Claim:*** This is trickier than it looks.

# Representing Trees



# Representing Trees



Finding this pointer might take time  $\Theta(\log n)$ !

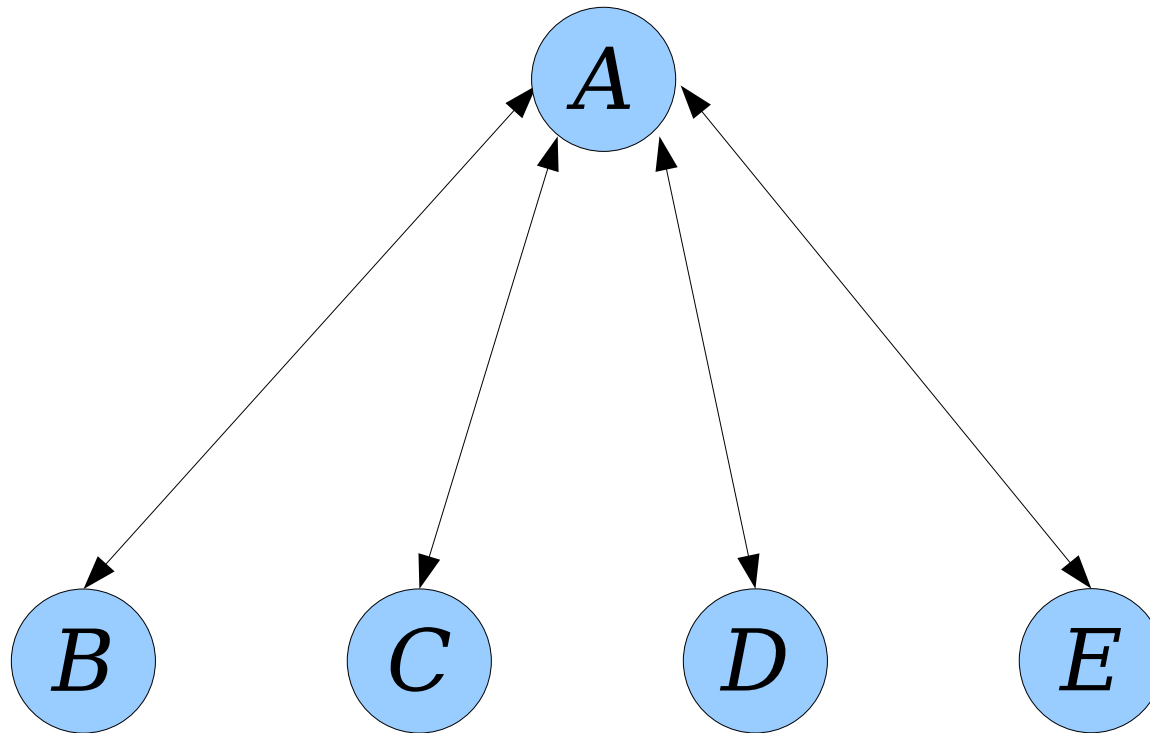
# The Solution

This is going to be weird.

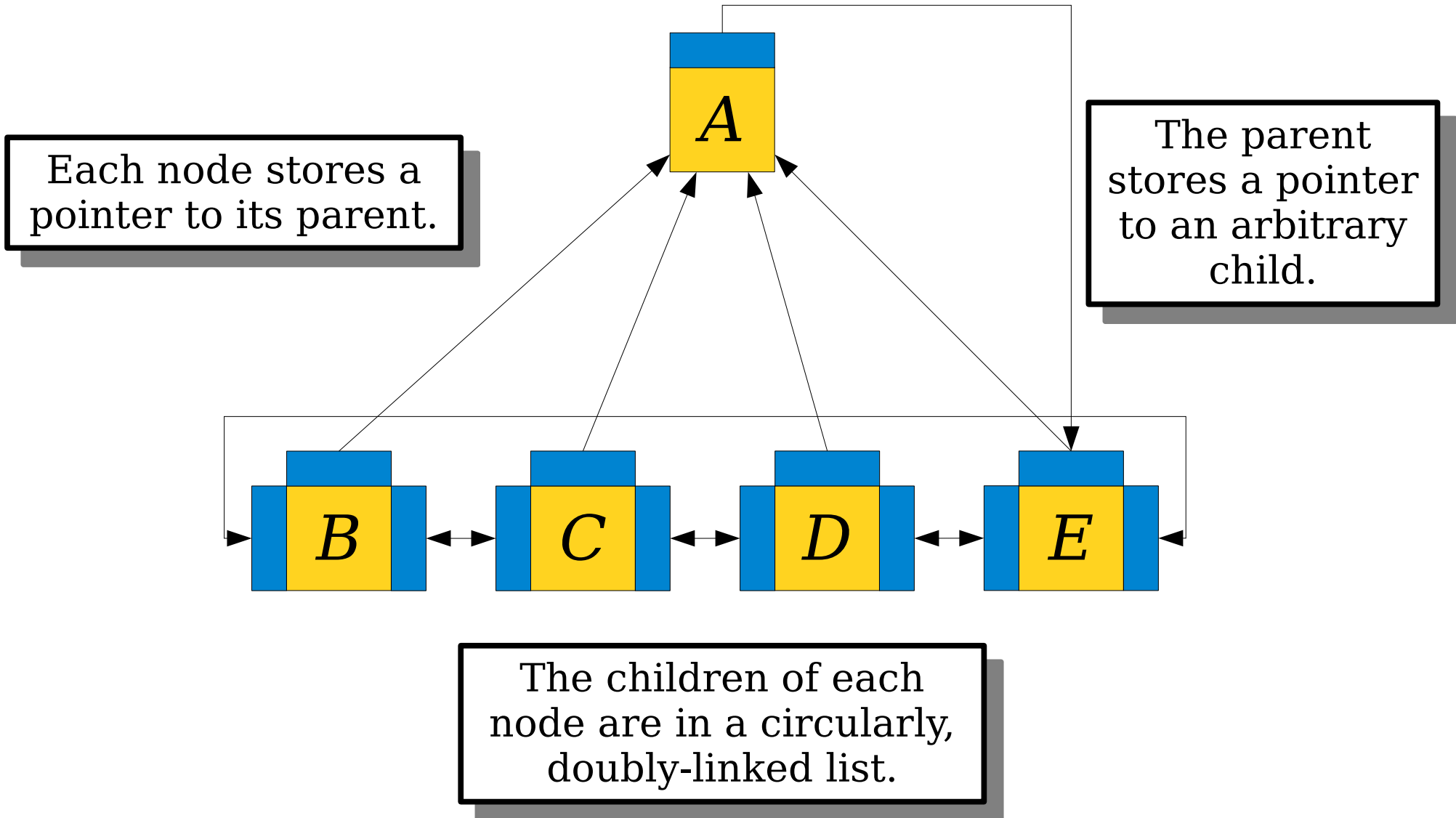
Sorry.



# The Solution



# The Solution



# Awful Linked Lists

- Trees are stored as follows:
  - Each node stores a pointer to *some* child.
  - Each node stores a pointer to its parent.
  - Each node is in a circularly-linked list of its siblings.
- The following possible are now possible in time  $O(1)$ :
  - Cut a node from its parent.
  - Add another child node to a node.

# Fibonacci Heap Nodes

- Each node in a Fibonacci heap stores
  - A pointer to its parent.
  - A pointer to the next sibling.
  - A pointer to the previous sibling.
  - A pointer to an arbitrary child.
  - A bit for whether it's marked.
  - Its order.
  - Its key.
  - Its element.

# In Practice

- In practice, the constant factors on Fibonacci heaps make it slower than other heaps, except on huge graphs or workflows with tons of *decrease-keys*.
- Why?
  - Huge memory requirements per node.
  - High constant factors on all operations.
  - Poor locality of reference and caching.

# In Theory

- That said, Fibonacci heaps are worth knowing about for several reasons:
  - Clever use of a two-tiered potential function shows up in lots of data structures.
  - Implementation of *decrease-key* forms the basis for many other advanced priority queues.
  - Gives the theoretically optimal comparison-based implementation of Prim's and Dijkstra's algorithms.

# More to Explore

- Since the development of Fibonacci heaps, there have been a number of other priority queues with similar runtimes.
  - In 1986, a powerhouse team (Fredman, Sedgwick, Sleator, and Tarjan) invented the **pairing heap**. It's much simpler than a Fibonacci heap, is fast in practice, but its runtime bounds are unknown!
  - In 2012, Brodal et al. invented the **strict Fibonacci heap**. It has the same time bounds as a Fibonacci heap, but in a *worst-case* rather than *amortized* sense.
  - In 2013, Chan invented the **quake heap**. It matches the asymptotic bounds of a Fibonacci heap but uses a totally different strategy.
- Also interesting to explore: if the weights on the edges in a graph are chosen from a continuous distribution, the expected number of **decrease-keys** in Dijkstra's algorithm is  $O(n \log (m / n))$ . That might counsel another heap structure!
- Also interesting to explore: binary heaps generalize to  $b$ -ary heaps, where each node has  $b$  children. Picking  $b = \log (2 + m/n)$  makes Dijkstra and Prim run in time  $O(m \log n / \log m/n)$ , which is  $O(m)$  if  $m = \Theta(n^{1+\varepsilon})$  for any  $\varepsilon > 0$ .

# Next Time

- ***Randomized Data Structures***
  - Doing well on average, broadly speaking.
- ***Frequency Estimation***
  - Counting in sublinear space.
- ***Count-Min Sketches***
  - A simple, elegant, fast, and widely-used data structure.