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#### Sometimes we also have

▶  $S. merge(S'): S := S \cup S'; S' := \emptyset.$ 

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- ► handle S. insert(x): Adds element x to the data-structure, and returns a handle to the object for future reference.
- **S.** delete(h): Deletes element specified through handle h.
- S. decrease-key(h, k): Decreases the key of the element specified by handle h to k. Assumes that the key is at least k before the operation.

## Dijkstra's Shortest Path Algorithm

```
Algorithm 1 Shortest-Path(G = (V, E, d), s \in V)
 1: Input: weighted graph G = (V, E, d); start vertex s;
 2: Output: key-field of every node contains distance from s;
 3: S.build(); // build empty priority queue
 4: for all v \in V \setminus \{s\} do
 5: v \cdot \text{key} \leftarrow \infty;
 6: h_v \leftarrow S.insert(v);
 7: s. \text{key} \leftarrow 0; S. \text{insert}(s);
 8: while S.is-empty() = false do
 9:
        v \leftarrow S. delete-min():
10: for all x \in V s.t. (v, x) \in E do
                if x. key > v. key +d(v,x) then
11:
12:
                      S.decrease-key(h_x, v. key +d(v, x));
13:
                      x. \text{key} \leftarrow v. \text{key} + d(v, x);
```

## **Prim's Minimum Spanning Tree Algorithm**

```
Algorithm 2 Prim-MST(G = (V, E, d), s \in V)
 1: Input: weighted graph G = (V, E, d); start vertex s;
 2: Output: pred-fields encode MST;
 3: S.build(); // build empty priority queue
 4: for all v \in V \setminus \{s\} do
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 7: s. \text{key} \leftarrow 0; S. \text{insert}(s);
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                      x. key \leftarrow d(v, x);
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                      x. pred \leftarrow v:
14:
```

## **Analysis of Dijkstra and Prim**

#### Both algorithms require:

- ▶ 1 build() operation
- ightharpoonup |V| insert() operations
- ▶ |V| delete-min() operations
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How good a running time can we obtain?

Operation	Binary Heap	BST	Binomial Heap	Fibonacci Heap*
build	n	$n \log n$	$n \log n$	n
minimum	1	$\log n$	$\log n$	1
is-empty	1	1	1	1
insert	$\log n$	$\log n$	$\log n$	1
delete	$\log n^{**}$	$\log n$	$\log n$	$\log n$
delete-min	$\log n$	$\log n$	$\log n$	$\log n$
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Note that most applications use build() only to create an empty heap which then costs time 1.

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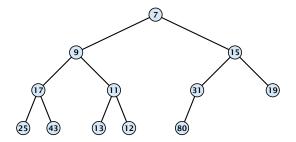
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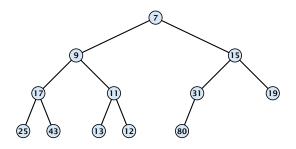
Fibonacci heaps only give an amortized guarantee.

Using Binary Heaps, Prim and Dijkstra run in time  $\mathcal{O}((|V|+|E|)\log|V|)$ .

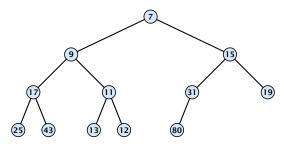
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- Nearly complete binary tree; only the last level is not full, and this one is filled from left to right.
- Heap property: A node's key is not larger than the key of one of its children.



## **Binary Heaps**

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#### **Operations:**

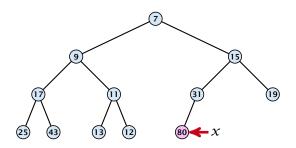
**minimum():** return the root-element. Time O(1).

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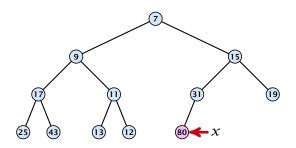
- **minimum():** return the root-element. Time O(1).
- **is-empty():** check whether root-pointer is null. Time  $\mathcal{O}(1)$ .

Maintain a pointer to the last element x.



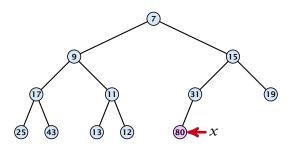
Maintain a pointer to the last element x.

We can compute the predecessor of x (last element when x is deleted) in time  $\mathcal{O}(\log n)$ .



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We can compute the predecessor of x (last element when x is deleted) in time O(log n). go up until the last edge used was a right edge. go left; go right until you reach a leaf

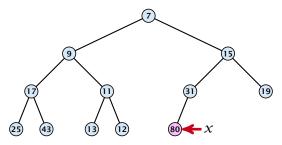


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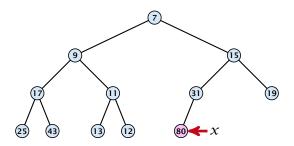
• We can compute the predecessor of x (last element when x is deleted) in time  $\mathcal{O}(\log n)$ .

go up until the last edge used was a right edge. go left; go right until you reach a leaf

if you hit the root on the way up, go to the rightmost element

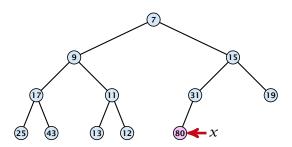


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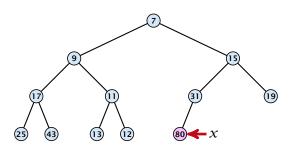
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go up until the last edge used was a left edge. go right; go left until you reach a null-pointer.

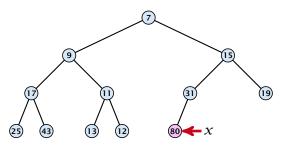


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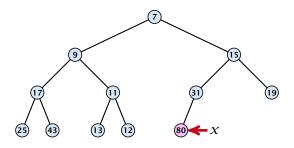
go up until the last edge used was a left edge. go right; go left until you reach a null-pointer.

if you hit the root on the way up, go to the leftmost element; insert a new element as a left child;



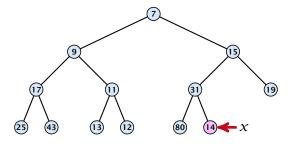
#### **Insert**

1. Insert element at successor of x.



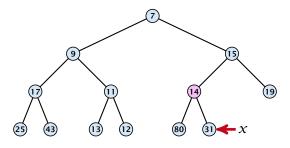
#### **Insert**

- 1. Insert element at successor of x.
- 2. Exchange with parent until heap property is fulfilled.



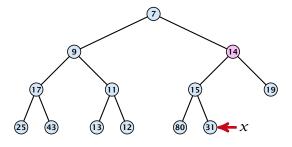
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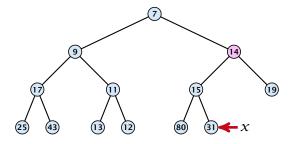
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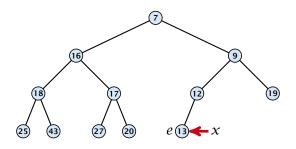
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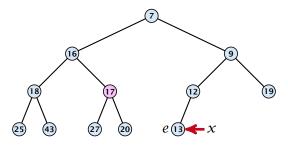


Note that an exchange can either be done by moving the data or by changing pointers. The latter method leads to an addressable priority queue.

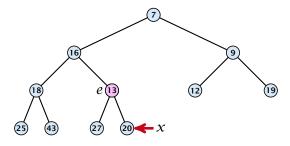
1. Exchange the element to be deleted with the element e pointed to by x.



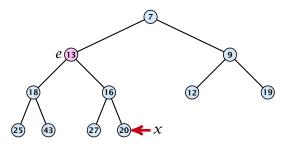
- 1. Exchange the element to be deleted with the element e pointed to by x.
- **2.** Restore the heap-property for the element e.



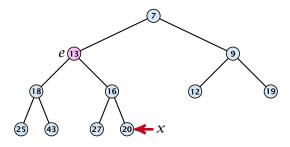
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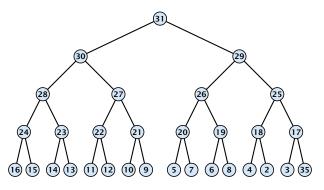


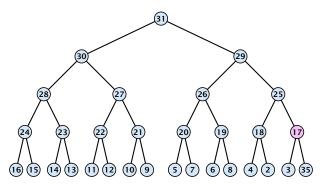
At its new position e may either travel up or down in the tree (but not both directions).

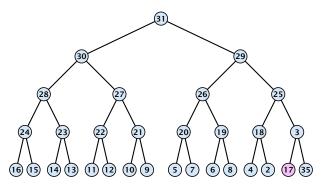
#### **Binary Heaps**

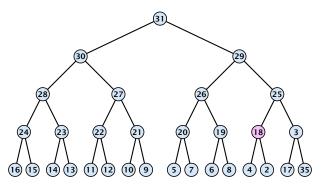
#### **Operations:**

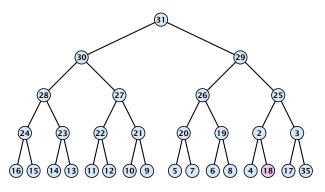
- **minimum()**: return the root-element. Time  $\mathcal{O}(1)$ .
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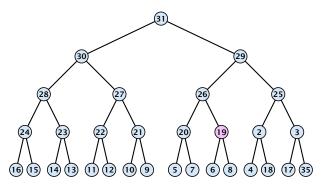


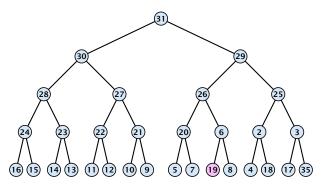


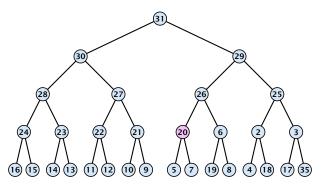


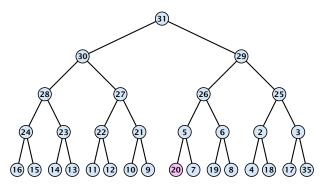


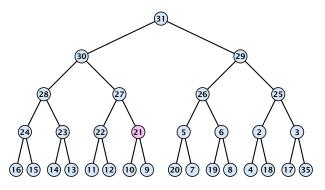


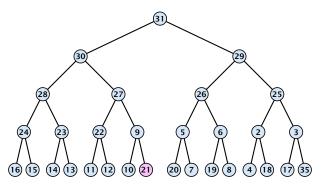


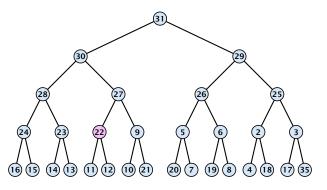


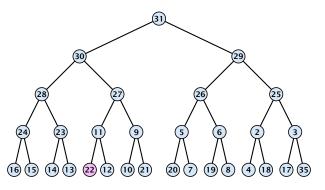


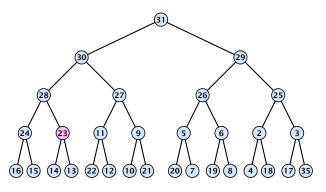


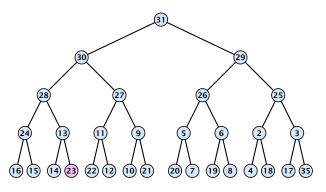


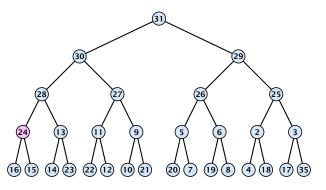


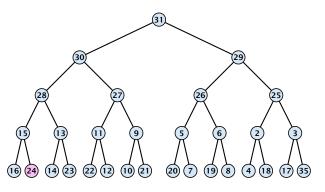


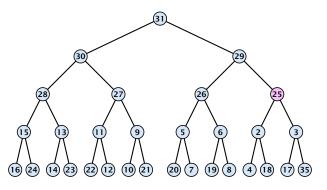


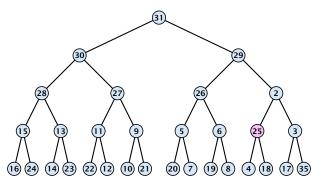


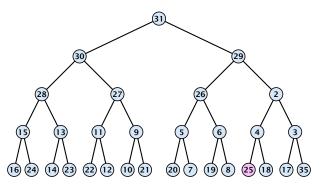


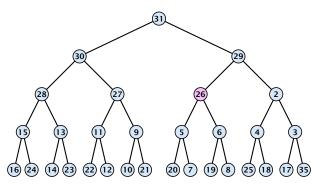


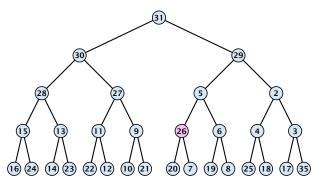


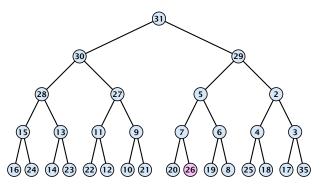


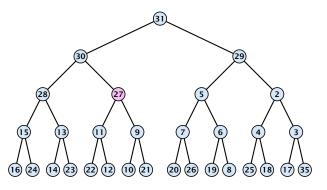


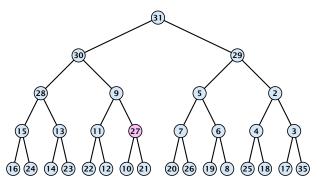


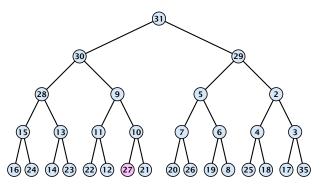


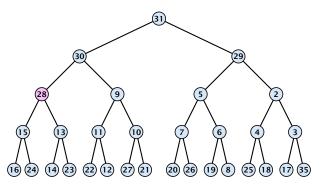


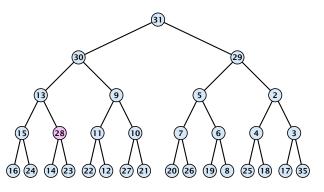


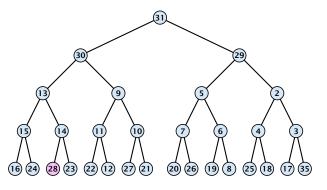


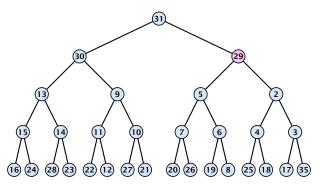


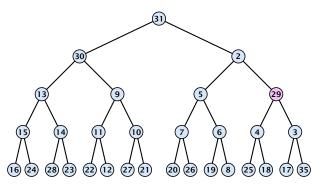


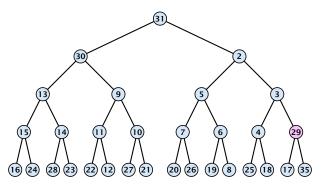


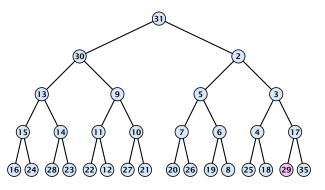


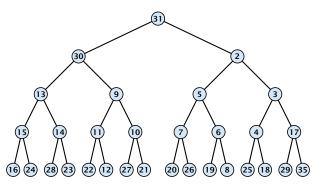


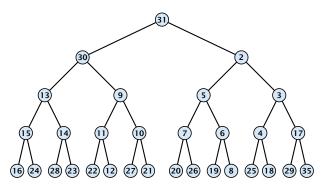












$$\sum_{\text{levels } \ell} 2^{\ell} \cdot (h - \ell) = \sum_{i} i 2^{h - i} = \mathcal{O}(2^h) = \mathcal{O}(n)$$

#### **Operations:**

- **minimum():** Return the root-element. Time  $\mathcal{O}(1)$ .
- **is-empty():** Check whether root-pointer is null. Time O(1).
- ▶ insert(k): Insert at x and bubble up. Time O(log n).
- **delete**(h): Swap with x and bubble up or sift-down. Time  $O(\log n)$ .
- **build** $(x_1, \ldots, x_n)$ : Insert elements arbitrarily; then do sift-down operations starting with the lowest layer in the tree. Time  $\mathcal{O}(n)$ .

The standard implementation of binary heaps is via arrays. Let A[0,...,n-1] be an array

- ▶ The parent of i-th element is at position  $\lfloor \frac{i-1}{2} \rfloor$ .
- ▶ The left child of i-th element is at position 2i + 1.
- ▶ The right child of *i*-th element is at position 2i + 2.

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- ► The right child of *i*-th element is at position 2i + 2.

Finding the successor of x is much easier than in the description on the previous slide. Simply increase or decrease x.

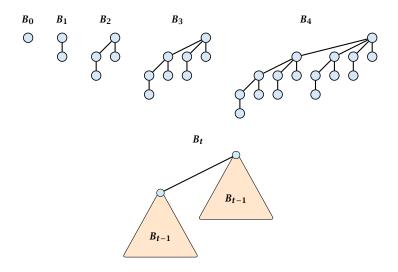
The standard implementation of binary heaps is via arrays. Let A[0,...,n-1] be an array

- ▶ The parent of i-th element is at position  $\lfloor \frac{i-1}{2} \rfloor$ .
- ▶ The left child of i-th element is at position 2i + 1.
- ► The right child of *i*-th element is at position 2i + 2.

Finding the successor of x is much easier than in the description on the previous slide. Simply increase or decrease x.

The resulting binary heap is not addressable. The elements don't maintain their positions and therefore there are no stable handles.

Operation	Binary Heap	BST	Binomial Heap	Fibonacci Heap*
build	n	$n \log n$	$n \log n$	n
minimum	1	$\log n$	$\log n$	1
is-empty	1	1	1	1
insert	$\log n$	$\log n$	$\log n$	1
delete	$\log n^{**}$	$\log n$	$\log n$	$\log n$
delete-min	$\log n$	$\log n$	$\log n$	$\log n$
decrease-key	$\log n$	$\log n$	$\log n$	1
merge	n	$n \log n$	$\log n$	1



#### **Properties of Binomial Trees**

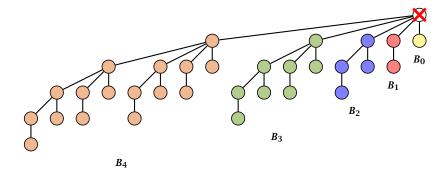
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- $\triangleright$   $B_k$  has height k.

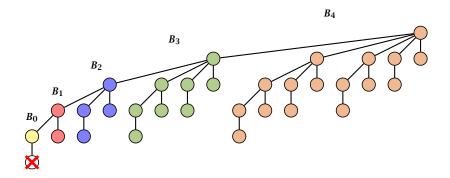
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- ▶ The root of  $B_k$  has degree k.

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- ▶  $B_k$  has  $\binom{k}{\ell}$  nodes on level  $\ell$ .

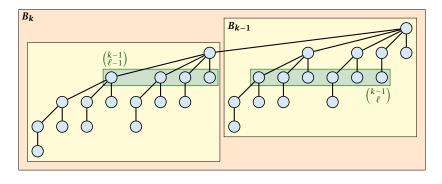
- $\triangleright$   $B_k$  has  $2^k$  nodes.
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- ▶ The root of  $B_k$  has degree k.
- ▶  $B_k$  has  $\binom{k}{\ell}$  nodes on level  $\ell$ .
- ▶ Deleting the root of  $B_k$  gives trees  $B_0, B_1, ..., B_{k-1}$ .



Deleting the root of  $B_5$  leaves sub-trees  $B_4$ ,  $B_3$ ,  $B_2$ ,  $B_1$ , and  $B_0$ .

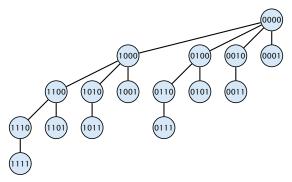


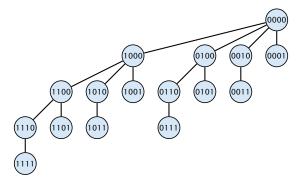
Deleting the leaf furthest from the root (in  $B_5$ ) leaves a path that connects the roots of sub-trees  $B_4$ ,  $B_3$ ,  $B_2$ ,  $B_1$ , and  $B_0$ .



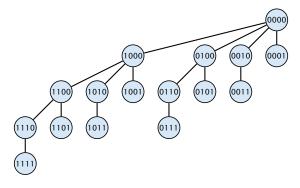
The number of nodes on level  $\ell$  in tree  $B_k$  is therefore

$$\begin{pmatrix} k-1\\ \ell-1 \end{pmatrix} + \begin{pmatrix} k-1\\ \ell \end{pmatrix} = \begin{pmatrix} k\\ \ell \end{pmatrix}$$



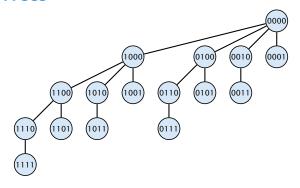


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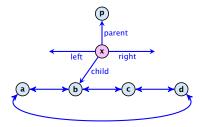
The binomial tree  $B_k$  is a sub-graph of the hypercube  $H_k$ .

The parent of a node with label  $b_k, \ldots, b_1$  is obtained by setting the least significant 1-bit to 0.

The  $\ell$ -th level contains nodes that have  $\ell$  1's in their label.

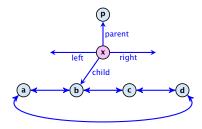
#### How do we implement trees with non-constant degree?

The children of a node are arranged in a circular linked list.



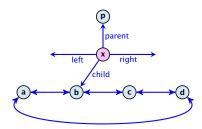
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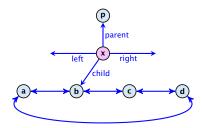
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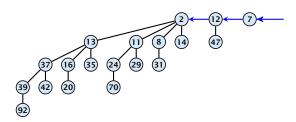


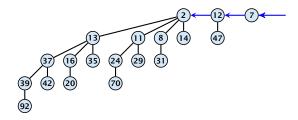
#### How do we implement trees with non-constant degree?

- The children of a node are arranged in a circular linked list.
- A child-pointer points to an arbitrary node within the list.
- A parent-pointer points to the parent node.
- Pointers x. left and x. right point to the left and right sibling of x (if x does not have siblings then x. left = x. right = x).

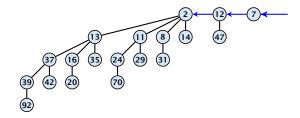


- Given a pointer to a node x we can splice out the sub-tree rooted at x in constant time.
- ▶ We can add a child-tree *T* to a node *x* in constant time if we are given a pointer to *x* and a pointer to the root of *T*.



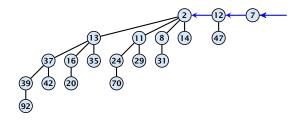


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Every tree fulfills the heap-property

There is at most one tree for every dimension/order. For example the above heap contains trees  $B_0$ ,  $B_1$ , and  $B_4$ .

Given the number n of keys to be stored in a binomial heap we can deduce the binomial trees that will be contained in the collection.

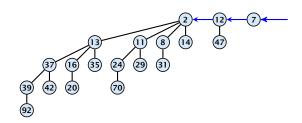
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Let  $B_{k_1}$ ,  $B_{k_2}$ ,  $B_{k_3}$ ,  $k_i < k_{i+1}$  denote the binomial trees in the collection and recall that every tree may be contained at most once.

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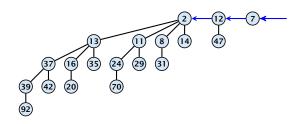
Let  $B_{k_1}$ ,  $B_{k_2}$ ,  $B_{k_3}$ ,  $k_i < k_{i+1}$  denote the binomial trees in the collection and recall that every tree may be contained at most once.

Then  $n=\sum_i 2^{k_i}$  must hold. But since the  $k_i$  are all distinct this means that the  $k_i$  define the non-zero bit-positions in the binary representation of n.

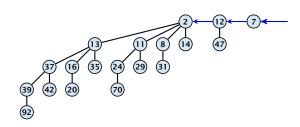


#### Properties of a heap with n keys:

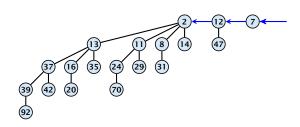
Let  $n = b_d b_{d-1}, \dots, b_0$  denote binary representation of n.



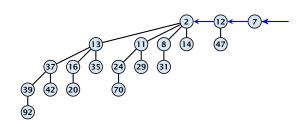
- Let  $n = b_d b_{d-1}, \dots, b_0$  denote binary representation of n.
- ▶ The heap contains tree  $B_i$  iff  $b_i = 1$ .



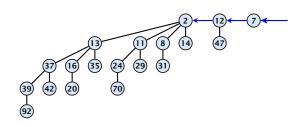
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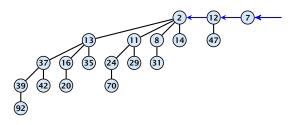
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- ▶ The height of the largest tree is at most  $\lfloor \log n \rfloor$ .
- The trees are stored in a single-linked list; ordered by dimension/size.



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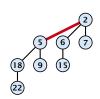
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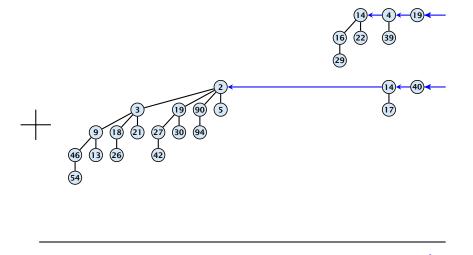
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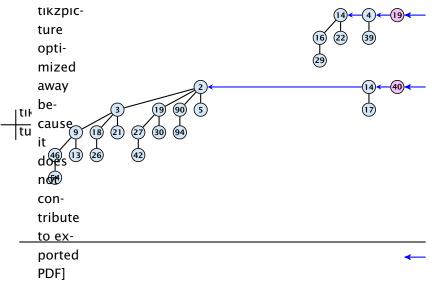
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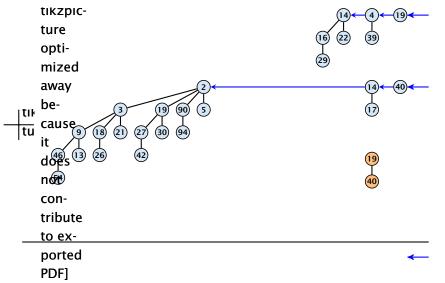
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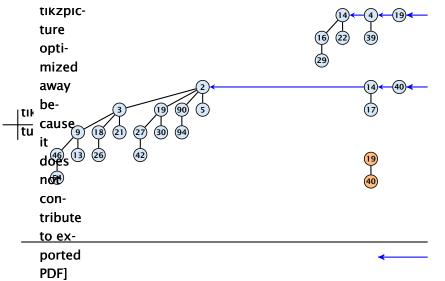
For more trees the technique is analogous to binary addition.

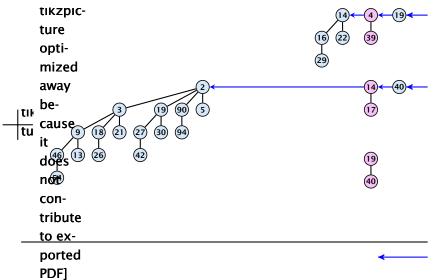


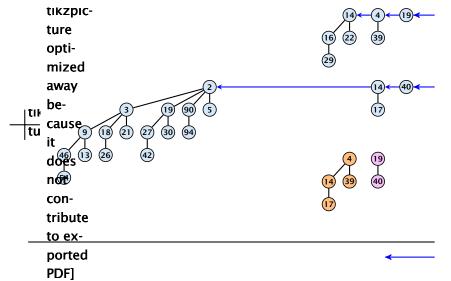


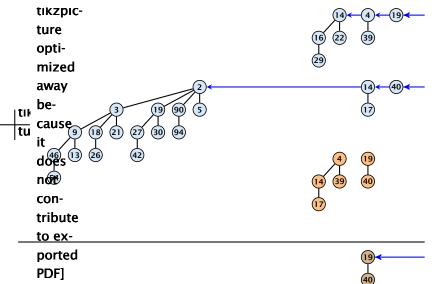


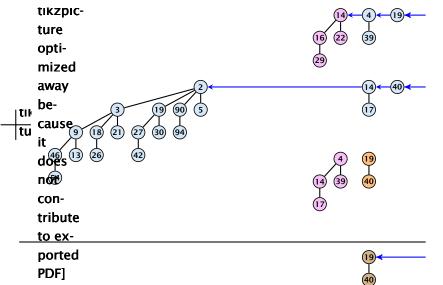


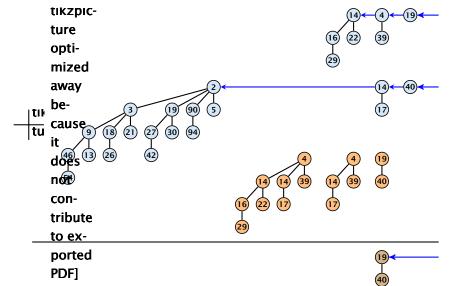


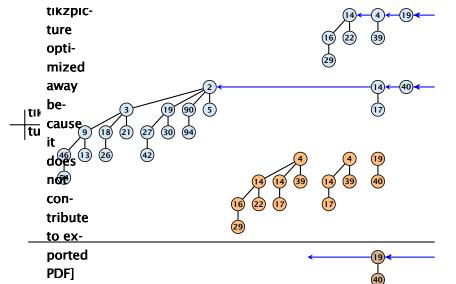


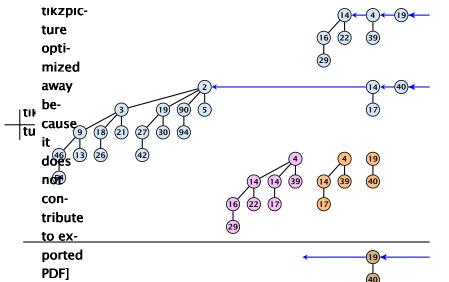


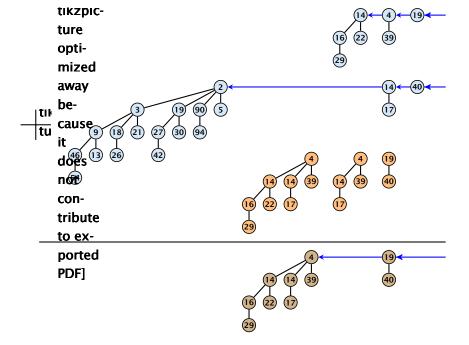


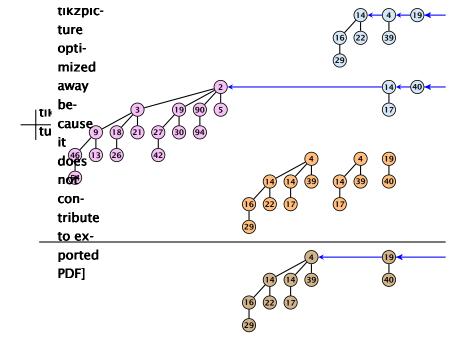


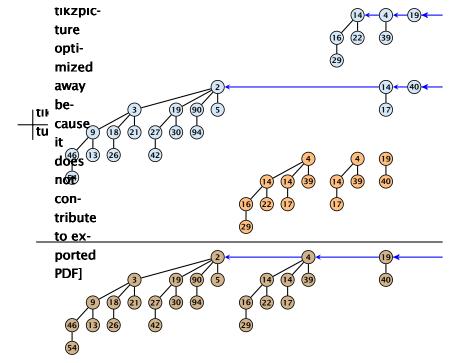


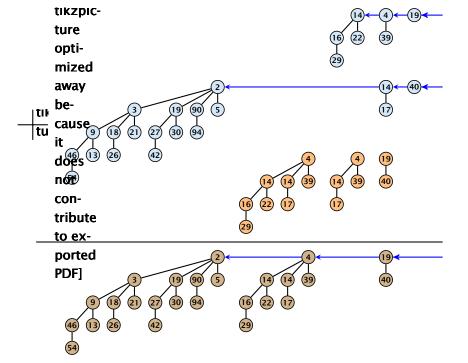












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### S. minimum():

- Find the minimum key-value among all roots.
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### S. decrease-key(handle h):

- ▶ Decrease the key of the element pointed to by h.
- Bubble the element up in the tree until the heap property is fulfilled.
- ▶ Time:  $O(\log n)$  since the trees have height  $O(\log n)$ .

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**Execute** *S*. decrease-key $(h, -\infty)$ .

### *S*. delete(handle *h*):

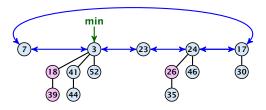
- **Execute** *S*. decrease-key $(h, -\infty)$ .
- Execute *S*. delete-min().

### *S*. delete(handle *h*):

- ▶ Execute *S*. decrease-key $(h, -\infty)$ .
- ► Execute *S*. delete-min().
- ▶ Time:  $O(\log n)$ .

Collection of trees that fulfill the heap property.

Structure is much more relaxed than binomial heaps.

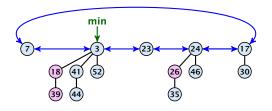


### Additional implementation details:

- Every node x stores its degree in a field x. degree. Note that this can be updated in constant time when adding a child to x.
- Every node stores a boolean value x. marked that specifies whether x is marked or not.

### The potential function:

- $\blacktriangleright$  t(S) denotes the number of trees in the heap.
- $\blacktriangleright$  m(S) denotes the number of marked nodes.
- We use the potential function  $\Phi(S) = t(S) + 2m(S)$ .



The potential is  $\Phi(S) = 5 + 2 \cdot 3 = 11$ .

We assume that one unit of potential can pay for a constant amount of work, where the constant is chosen "big enough" (to take care of the constants that occur).

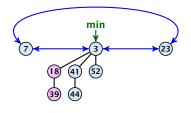
To make this more explicit we use  $\boldsymbol{c}$  to denote the amount of work that a unit of potential can pay for.

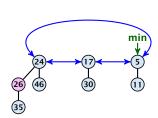
#### S. minimum()

- Access through the min-pointer.
- Actual cost  $\mathcal{O}(1)$ .
- No change in potential.
- Amortized cost  $\mathcal{O}(1)$ .

### S. merge(S')

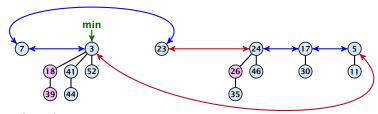
- Merge the root lists.
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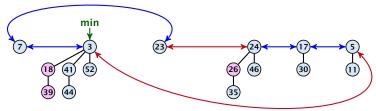


### Running time:

Actual cost  $\mathcal{O}(1)$ .

### S. merge(S')

- Merge the root lists.
- Adjust the min-pointer

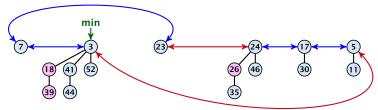


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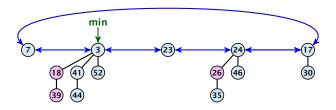


### Running time:

- Actual cost  $\mathcal{O}(1)$ .
- No change in potential.
- ▶ Hence, amortized cost is  $\mathcal{O}(1)$ .

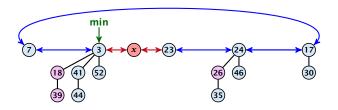
### S.insert(x)

- Create a new tree containing x.
- Insert x into the root-list.
- Update min-pointer, if necessary.



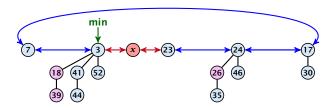
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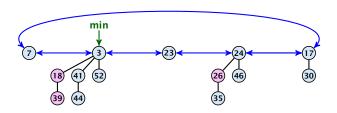
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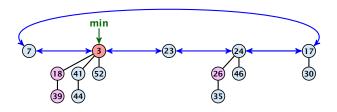
### Running time:

- Actual cost  $\mathcal{O}(1)$ .
- ightharpoonup Change in potential is +1.
- ▶ Amortized cost is c + O(1) = O(1).

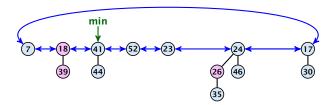


### S. delete-min(x)

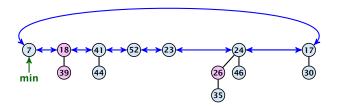
▶ Delete minimum; add child-trees to heap; time:  $D(\min) \cdot \mathcal{O}(1)$ .



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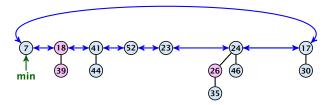


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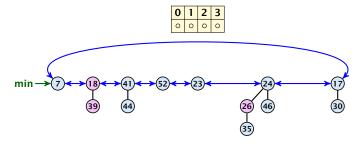
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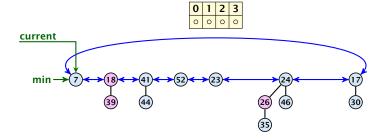


Consolidate root-list so that no roots have the same degree. Time  $t\cdot\mathcal{O}(1)$  (see next slide).

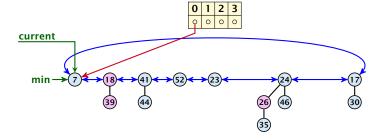
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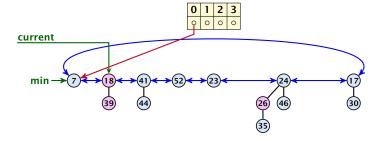


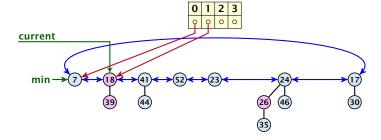
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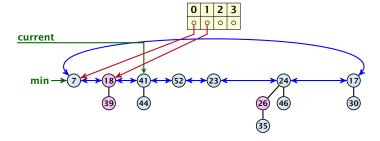


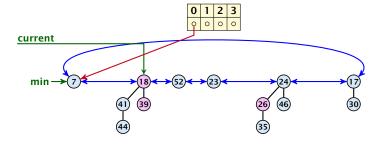
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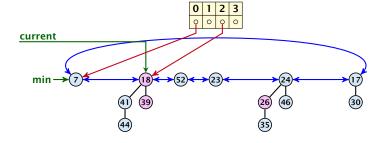


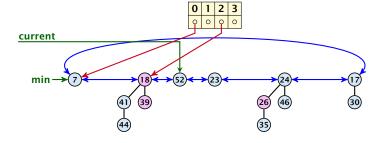


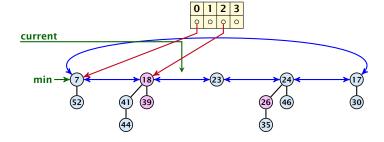


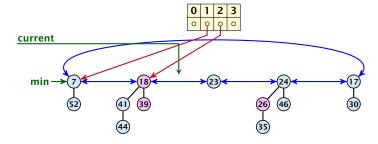


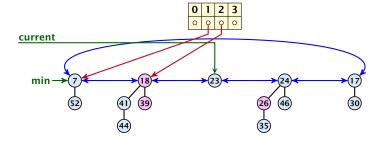


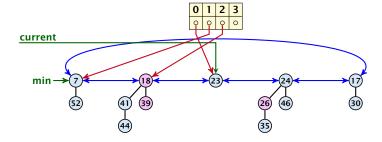


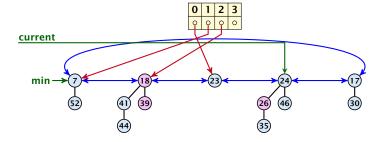


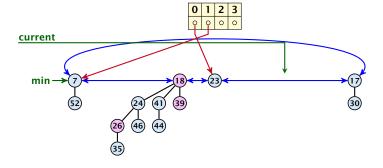


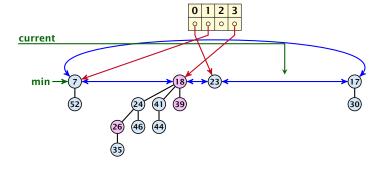


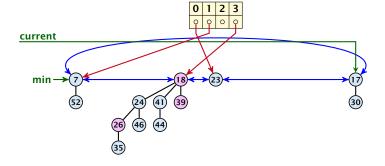


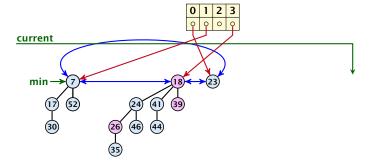


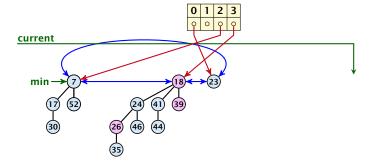


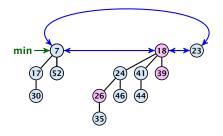












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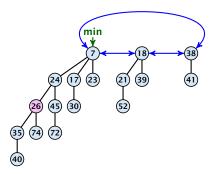
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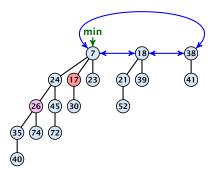
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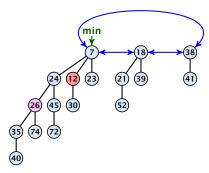
If we do not have delete or decrease-key operations then  $D_n \leq \log n$ .



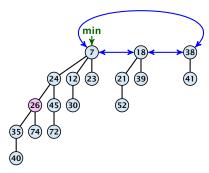
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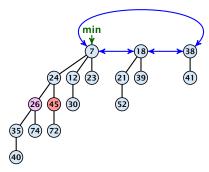
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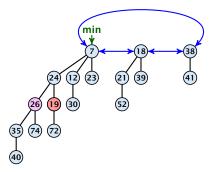


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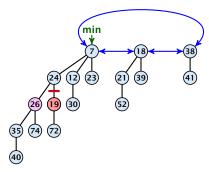
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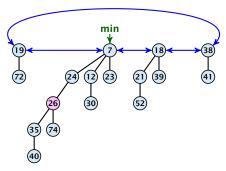
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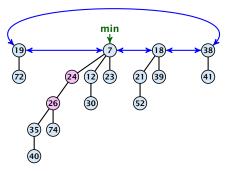
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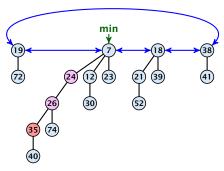
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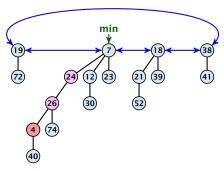


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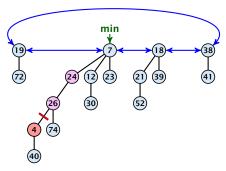
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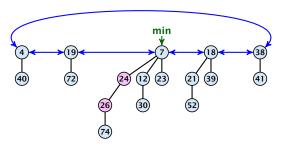
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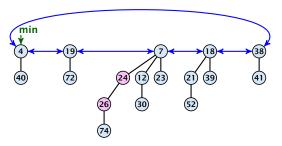
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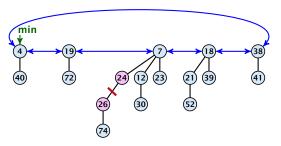
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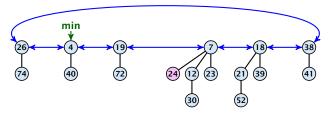
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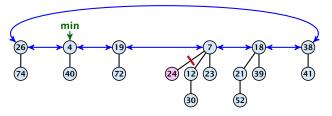
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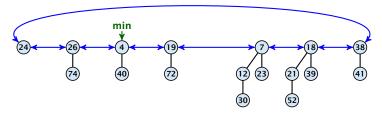
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- Adjust min-pointers, if necessary.
- Execute the following:

```
p ← parent[x];
while (p is marked)
    pp ← parent[p];
    cut of p; make it into a root; unmark it;
    p ← pp;
if p is unmarked and not a root mark it;
```

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$$c_2(\ell+1) + c(4-\ell) \le (c_2-c)\ell + 4c + c_2 = \mathcal{O}(1),$$
  
if  $c \ge c_2.$ 

### Delete node

### H. delete(x):

- ▶ decrease value of x to  $-\infty$ .
- delete-min.

### Amortized cost: $\mathcal{O}(D_n)$

- $ightharpoonup \mathcal{O}(1)$  for decrease-key.
- $\triangleright$   $\mathcal{O}(D_n)$  for delete-min.

#### Lemma 1

Let x be a node with degree k and let  $y_1, \ldots, y_k$  denote the children of x in the order that they were linked to x. Then

$$degree(y_i) \ge \begin{cases} 0 & if i = 1\\ i - 2 & if i > 1 \end{cases}$$

### **Proof**

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- $\triangleright$  Since, then  $y_i$  has lost at most one child.

#### Proof

- When  $y_i$  was linked to x, at least  $y_1, \ldots, y_{i-1}$  were already linked to x.
- ▶ Hence, at this time  $degree(x) \ge i 1$ , and therefore also  $degree(y_i) \ge i 1$  as the algorithm links nodes of equal degree only.
- Since, then  $y_i$  has lost at most one child.
- ▶ Therefore, degree( $y_i$ ) ≥ i 2.

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$$= 2 + \sum_{i=0}^{k-2} s_i$$

#### **Definition 2**

Consider the following non-standard Fibonacci type sequence:

$$F_k = \begin{cases} 1 & \text{if } k = 0 \\ 2 & \text{if } k = 1 \\ F_{k-1} + F_{k-2} & \text{if } k \ge 2 \end{cases}$$

#### Facts:

- 1.  $F_k \geq \phi^k$ .
- **2.** For  $k \ge 2$ :  $F_k = 2 + \sum_{i=0}^{k-2} F_i$ .

The above facts can be easily proved by induction. From this it follows that  $s_k \ge F_k \ge \phi^k$ , which gives that the maximum degree in a Fibonacci heap is logarithmic.

k=0: 
$$1 = F_0 \ge \Phi^0 = 1$$
  
k=1:  $2 = F_1 \ge \Phi^1 \approx 1$ 

k=1: 
$$2 = F_1 \ge \Phi^1 \approx 1.61$$
  
k-2,k-1  $\rightarrow$  k:  $F_k = F_{k-1} + F_{k-2} \ge \Phi^{k-1} + \Phi^{k-2} = \Phi^{k-2}(\Phi + 1) = \Phi^k$ 

$$2 = F_1 \ge \Phi^1 \approx$$

$$k-1 \to k \quad F_k = F_{k-1} + F_k$$

$$2 = F_1 \ge \Phi^1 \approx 1$$
  
-1  $\rightarrow$  k:  $F_k = F_{k-1} + F_{k-1}$ 

$$2 = F_1 \ge \Phi^{\perp} \approx 1$$
  
 $1 \rightarrow k$ :  $F_k = F_{k-1} + F_{k-1}$ 

k: 
$$F_k = F_{k-1} + F_{k-1}$$

$$-1 + F_{k-2} \ge \Phi$$

$$T_{k-2} \ge \Phi^{\kappa}$$

$$\geq \Phi^{\kappa^-}$$

k=2:  $3 = F_2 = 2 + 1 = 2 + F_0$ k-1  $\rightarrow$  k:  $F_k = F_{k-1} + F_{k-2} = 2 + \sum_{i=0}^{k-3} F_i + F_{k-2} = 2 + \sum_{i=0}^{k-2} F_i$ 

$$\geq \Phi^{k-1}$$

$$\geq \Phi^{k-1}$$

$$\geq \Phi^{\kappa-}$$

$$\geq \Phi^{k-1}$$

$$\geq \Phi^{k-1}$$

$$> \Phi^{k-1}$$