

# Pairing Heap

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## Abstract

This library defines three different versions of pairing heaps: a functional version of the original design based on binary trees [1], the version by Okasaki [2] and a modified version of the latter that is free of structural invariants.

The amortized complexities of these implementations are analyzed in the AFP article [Amortized Complexity](#).

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## 1 Pairing Heap in Binary Tree Representation

```
theory Pairing-Heap-Tree
imports
  HOL-Library.Tree-Multiset
  HOL-Data-Structures.Priority-Queue-Specs
begin
```

## 1.1 Definitions

Pairing heaps [1] in their original representation as binary trees.

```

fun get-min :: 'a :: linorder tree  $\Rightarrow$  'a where
get-min (Node - x -) = x

fun link :: ('a::linorder) tree  $\Rightarrow$  'a tree where
link (Node hsx x (Node hsy y hs)) =
  (if x < y then Node (Node hsy y hsx) x hs else Node (Node hsx x hsy) y hs) |
link t = t

fun pass1 :: ('a::linorder) tree  $\Rightarrow$  'a tree where
pass1 (Node hsx x (Node hsy y hs)) = link (Node hsx x (Node hsy y (pass1 hs))) |
pass1 hs = hs

fun pass2 :: ('a::linorder) tree  $\Rightarrow$  'a tree where
pass2 (Node hsx x hs) = link(Node hsx x (pass2 hs)) |
pass2 Leaf = Leaf

fun del-min :: ('a::linorder) tree  $\Rightarrow$  'a tree where
del-min Leaf = Leaf
| del-min (Node hs - -) = pass2 (pass1 hs)

fun merge :: ('a::linorder) tree  $\Rightarrow$  'a tree  $\Rightarrow$  'a tree where
merge Leaf hp = hp
| merge hp Leaf = hp
| merge (Node hsx x -) (Node hsy y -) = link (Node hsx x (Node hsy y Leaf))

```

Both *del-min* and *merge* need only be defined for arguments that are roots, i.e. of the form  $\langle hp, x, \langle \rangle \rangle$ . For simplicity they are totalized.

```
fun insert :: ('a::linorder)  $\Rightarrow$  'a tree  $\Rightarrow$  'a tree where
insert x hp = merge (Node Leaf x Leaf) hp
```

The invariant is the conjunction of *is-root* and *pheap*:

```

fun is-root :: 'a tree  $\Rightarrow$  bool where
is-root hp = (case hp of Leaf  $\Rightarrow$  True | Node l x r  $\Rightarrow$  r = Leaf)

fun pheap :: ('a :: linorder) tree  $\Rightarrow$  bool where
pheap Leaf = True |
pheap (Node l x r) = (( $\forall$  y  $\in$  set-tree l. x  $\leq$  y)  $\wedge$  pheap l  $\wedge$  pheap r)

```

## 1.2 Correctness Proofs

### 1.2.1 Invariants

```
lemma link-struct:  $\exists l a. \text{link} (\text{Node hsx } x (\text{Node hsy } y hs)) = \text{Node } l a hs$ 
by simp
```

```
lemma pass1-struct:  $\exists l a r. \text{pass}_1 (\text{Node hs1 } x hs) = \text{Node } l a r$ 
by (cases hs) simp-all
```

```

lemma pass2-struct:  $\exists l a. \text{pass}_2 (\text{Node } hs1 x hs) = \text{Node } l a \text{ Leaf}$ 
by (induction hs arbitrary: hs1 x rule: pass2.induct) (auto, metis link-struct)

lemma is-root-merge:
  is-root h1  $\implies$  is-root h2  $\implies$  is-root (merge h1 h2)
by (simp split: tree.splits)

lemma is-root-insert: is-root h  $\implies$  is-root (insert x h)
by (simp split: tree.splits)

lemma is-root-del-min:
  assumes is-root h shows is-root (del-min h)
proof (cases h)
  case [simp]: (Node lx x rx)
  have rx = Leaf using assms by simp
  thus ?thesis
  proof (cases lx)
    case (Node ly y ry)
    then obtain la a ra where pass1 lx = Node a la ra
      using pass1-struct by blast
    moreover obtain lb b where pass2 ... = Node b lb Leaf
      using pass2-struct by blast
    ultimately show ?thesis using assms by simp
  qed simp
  qed simp

lemma pheap-merge:
  [| is-root h1; is-root h2; pheap h1; pheap h2 |]  $\implies$  pheap (merge h1 h2)
by (auto split: tree.splits)

lemma pheap-insert: is-root h  $\implies$  pheap h  $\implies$  pheap (insert x h)
by (auto split: tree.splits)

lemma pheap-link: t  $\neq$  Leaf  $\implies$  pheap t  $\implies$  pheap (link t)
by (induction t rule: link.induct)(auto)

lemma pheap-pass1: pheap h  $\implies$  pheap (pass1 h)
by (induction h rule: pass1.induct) (auto)

lemma pheap-pass2: pheap h  $\implies$  pheap (pass2 h)
by (induction h)(auto simp: pheap-link)

lemma pheap-del-min: is-root h  $\implies$  pheap h  $\implies$  pheap (del-min h)
by (auto simp: pheap-pass1 pheap-pass2 split: tree.splits)

```

### 1.2.2 Functional Correctness

**lemma** get-min-in:

```

 $h \neq \text{Leaf} \implies \text{get-min } h \in \text{set-tree } h$ 
by(auto simp add: neq-Leaf-iff)

lemma get-min-min:  $\llbracket \text{is-root } h; \text{pheap } h; x \in \text{set-tree } h \rrbracket \implies \text{get-min } h \leq x$ 
by(auto split: tree.splits)

lemma mset-link:  $\text{mset-tree} (\text{link } t) = \text{mset-tree } t$ 
by(cases t rule: link.cases)(auto simp: add-ac)

lemma mset-pass1:  $\text{mset-tree} (\text{pass}_1 h) = \text{mset-tree } h$ 
by (induction h rule: pass1.induct) auto

lemma mset-pass2:  $\text{mset-tree} (\text{pass}_2 h) = \text{mset-tree } h$ 
by (induction h rule: pass2.induct) (auto simp: mset-link)

lemma mset-merge:  $\llbracket \text{is-root } h_1; \text{is-root } h_2 \rrbracket \implies \text{mset-tree} (\text{merge } h_1 h_2) = \text{mset-tree } h_1 + \text{mset-tree } h_2$ 
by (induction h1 h2 rule: merge.induct) (auto simp add: ac-simps)

lemma mset-del-min:  $\llbracket \text{is-root } h; t \neq \text{Leaf} \rrbracket \implies \text{mset-tree} (\text{del-min } h) = \text{mset-tree } h - \{\#\text{get-min } h\# \}$ 
by(induction h rule: del-min.induct)(auto simp: mset-pass1 mset-pass2)

```

Last step: prove all axioms of the priority queue specification:

```

interpretation pairing: Priority-Queue-Merge
where empty = Leaf and is-empty =  $\lambda h. h = \text{Leaf}$ 
and merge = merge and insert = insert
and del-min = del-min and get-min = get-min
and invar =  $\lambda h. \text{is-root } h \wedge \text{pheap } h$  and mset = mset-tree
proof(standard, goal-cases)
  case 1 show ?case by simp
next
  case (2 q) show ?case by(cases q) auto
next
  case 3 thus ?case by(simp add: mset-merge)
next
  case 4 thus ?case by(simp add: mset-del-min)
next
  case 5 thus ?case by(simp add: eq-Min-iff get-min-in get-min-min)
next
  case 6 thus ?case by(simp)
next
  case 7 thus ?case using is-root-insert pheap-insert by blast
next
  case 8 thus ?case using is-root-del-min pheap-del-min by blast
next
  case 9 thus ?case by(simp add: mset-merge)
next

```

```

  case 10 thus ?case using is-root-merge pheap-merge by blast
qed

end

```

## 2 Pairing Heap According to Okasaki

```

theory Pairing-Heap-List1
imports
  HOL-Library.Multiset
  HOL-Library.Pattern-Aliases
  HOL-Data-Structures.Priority-Queue-Specs
begin

```

### 2.1 Definitions

This implementation follows Okasaki [2]. It satisfies the invariant that *Empty* only occurs at the root of a pairing heap. The functional correctness proof does not require the invariant but the amortized analysis (elsewhere) makes use of it.

```

datatype 'a heap = Empty | Hp 'a 'a heap list

fun get-min :: 'a heap ⇒ 'a where
get-min (Hp x _) = x

hide-const (open) insert

context includes pattern-aliases
begin

fun merge :: ('a::linorder) heap ⇒ 'a heap ⇒ 'a heap where
merge h Empty = h |
merge Empty h = h |
merge (Hp x hsx =: hx) (Hp y hsy =: hy) =
  (if x < y then Hp x (hy # hsx) else Hp y (hx # hsy))

end

fun insert :: ('a::linorder) ⇒ 'a heap ⇒ 'a heap where
insert x h = merge (Hp x []) h

fun pass1 :: ('a::linorder) heap list ⇒ 'a heap list where
pass1 (h1#h2#hs) = merge h1 h2 # pass1 hs |
pass1 hs = hs

fun pass2 :: ('a::linorder) heap list ⇒ 'a heap where
pass2 [] = Empty
| pass2 (h#hs) = merge h (pass2 hs)

```

```

fun merge-pairs :: ('a::linorder) heap list  $\Rightarrow$  'a heap where
| merge-pairs [] = Empty
| merge-pairs [h] = h
| merge-pairs (h1 # h2 # hs) = merge (merge h1 h2) (merge-pairs hs)

fun del-min :: ('a::linorder) heap  $\Rightarrow$  'a heap where
| del-min Empty = Empty
| del-min (Hp x hs) = pass2 (pass1 hs)

```

## 2.2 Correctness Proofs

An optimization:

```

lemma pass12-merge-pairs: pass2 (pass1 hs) = merge-pairs hs
by (induction hs rule: merge-pairs.induct) (auto split: option.split)

```

```
declare pass12-merge-pairs[code-unfold]
```

### 2.2.1 Invariants

```

fun mset-heap :: 'a heap  $\Rightarrow$  'a multiset where
| mset-heap Empty = {#} |
| mset-heap (Hp x hs) = {#x#} + sum-mset(mset(map mset-heap hs))

fun pheap :: ('a :: linorder) heap  $\Rightarrow$  bool where
| pheap Empty = True |
| pheap (Hp x hs) = ( $\forall$  h  $\in$  set hs. ( $\forall$  y  $\in$  # mset-heap h. x  $\leq$  y)  $\wedge$  pheap h)

```

```

lemma pheap-merge: pheap h1  $\Longrightarrow$  pheap h2  $\Longrightarrow$  pheap (merge h1 h2)
by (induction h1 h2 rule: merge.induct) fastforce+

```

```

lemma pheap-merge-pairs:  $\forall$  h  $\in$  set hs. pheap h  $\Longrightarrow$  pheap (merge-pairs hs)
by (induction hs rule: merge-pairs.induct)(auto simp: pheap-merge)

```

```

lemma pheap-insert: pheap h  $\Longrightarrow$  pheap (insert x h)
by (auto simp: pheap-merge)

```

```

lemma pheap-del-min: pheap h  $\Longrightarrow$  pheap (del-min h)
by(cases h) (auto simp: pass12-merge-pairs pheap-merge-pairs)

```

### 2.2.2 Functional Correctness

```

lemma mset-heap-empty-iff: mset-heap h = {#}  $\longleftrightarrow$  h = Empty
by (cases h) auto

```

```

lemma get-min-in: h  $\neq$  Empty  $\Longrightarrow$  get-min h  $\in$  # mset-heap(h)
by(induction rule: get-min.induct)(auto)

```

```

lemma get-min-min:  $\llbracket h \neq \text{Empty}; \text{pheap } h; x \in \# \text{mset-heap}(h) \rrbracket \implies \text{get-min } h \leq x$ 
by(induction h rule: get-min.induct)(auto)

lemma get-min:  $\llbracket \text{pheap } h; h \neq \text{Empty} \rrbracket \implies \text{get-min } h = \text{Min-mset } (\text{mset-heap } h)$ 
by (metis Min-eqI finite-set-mset get-min-in get-min-min)

lemma mset-merge:  $\text{mset-heap } (\text{merge } h1 h2) = \text{mset-heap } h1 + \text{mset-heap } h2$ 
by(induction h1 h2 rule: merge.induct)(auto simp: add-ac)

lemma mset-insert:  $\text{mset-heap } (\text{insert } a h) = \{\#a\# \} + \text{mset-heap } h$ 
by(cases h) (auto simp add: mset-merge insert-def add-ac)

lemma mset-merge-pairs:  $\text{mset-heap } (\text{merge-pairs } hs) = \text{sum-mset } (\text{image-mset } \text{mset-heap } (\text{mset } hs))$ 
by(induction hs rule: merge-pairs.induct)(auto simp: mset-merge)

lemma mset-del-min:  $h \neq \text{Empty} \implies \text{mset-heap } (\text{del-min } h) = \text{mset-heap } h - \{\#\text{get-min } h\# \}$ 
by(cases h) (auto simp: pass12-merge-pairs mset-merge-pairs)

```

Last step: prove all axioms of the priority queue specification:

```

interpretation pairing: Priority-Queue-Merge
where empty = Empty and is-empty =  $\lambda h. h = \text{Empty}$ 
and merge = merge and insert = insert
and del-min = del-min and get-min = get-min
and invar = pheap and mset = mset-heap
proof(standard, goal-cases)
  case 1 show ?case by simp
next
  case (2 q) show ?case by (cases q) auto
next
  case 3 show ?case by(simp add: mset-insert mset-merge)
next
  case 4 thus ?case by(simp add: mset-del-min mset-heap-empty-iff)
next
  case 5 thus ?case using get-min mset-heap.simps(1) by blast
next
  case 6 thus ?case by(simp)
next
  case 7 thus ?case by(rule pheap-insert)
next
  case 8 thus ?case by (simp add: pheap-del-min)
next
  case 9 thus ?case by (simp add: mset-merge)
next
  case 10 thus ?case by (simp add: pheap-merge)
qed

```

```
end
```

### 3 Pairing Heap According to Oksaki (Modified)

```
theory Pairing-Heap-List2
```

```
imports
```

```
HOL-Library.Multiset
```

```
HOL-Data-Structures.Priority-Queue-Specs
```

```
begin
```

#### 3.1 Definitions

This version of pairing heaps is a modified version of the one by Okasaki [2] that avoids structural invariants.

```
datatype 'a hp = Hp 'a (hps: 'a hp list)
```

```
type-synonym 'a heap = 'a hp option
```

```
hide-const (open) insert
```

```
fun get-min :: 'a heap ⇒ 'a where
```

```
get-min (Some(Hp x _)) = x
```

```
fun link :: ('a::linorder) hp ⇒ 'a hp ⇒ 'a hp where
```

```
link (Hp x1 hs1) (Hp x2 hs2) =
```

```
(if x1 < x2 then Hp x1 (Hp x2 hs2 # hs1) else Hp x2 (Hp x1 hs1 # hs2))
```

```
fun merge :: ('a::linorder) heap ⇒ 'a heap ⇒ 'a heap where
```

```
merge ho None = ho |
```

```
merge None ho = ho |
```

```
merge (Some h1) (Some h2) = Some(link h1 h2)
```

```
lemma merge-None[simp]: merge None ho = ho
```

```
by(cases ho)auto
```

```
fun insert :: ('a::linorder) ⇒ 'a heap ⇒ 'a heap where
```

```
insert x None = Some(Hp x []) |
```

```
insert x (Some h) = Some(link (Hp x []) h)
```

```
fun pass1 :: ('a::linorder) hp list ⇒ 'a hp list where
```

```
pass1 (h1#h2#hs) = link h1 h2 # pass1 hs |
```

```
pass1 hs = hs
```

```
fun pass2 :: ('a::linorder) hp list ⇒ 'a heap where
```

```
pass2 [] = None |
```

```
pass2 (h#hs) = Some(case pass2 hs of None ⇒ h | Some h' ⇒ link h h')
```

```

fun merge-pairs :: ('a::linorder) hp list  $\Rightarrow$  'a heap where
  merge-pairs [] = None
  | merge-pairs [h] = Some h
  | merge-pairs (h1 # h2 # hs) =
    Some(let h12 = link h1 h2 in case merge-pairs hs of None  $\Rightarrow$  h12 | Some h  $\Rightarrow$ 
      link h12 h)

fun del-min :: ('a::linorder) heap  $\Rightarrow$  'a heap where
  del-min None = None
  | del-min (Some(Hp x hs)) = pass2 (pass1 hs)

```

### 3.2 Correctness Proofs

An optimization:

```

lemma pass12-merge-pairs: pass2 (pass1 hs) = merge-pairs hs
by (induction hs rule: merge-pairs.induct) (auto split: option.split)

```

```
declare pass12-merge-pairs[code-unfold]
```

Abstraction functions:

```

fun mset-hp :: 'a hp  $\Rightarrow$  'a multiset where
  mset-hp (Hp x hs) = {#x#} + sum-list(map mset-hp hs)

```

```

definition mset-heap :: 'a heap  $\Rightarrow$  'a multiset where
  mset-heap ho = (case ho of None  $\Rightarrow$  {} | Some h  $\Rightarrow$  mset-hp h)

```

#### 3.2.1 Invariants

```

fun php :: ('a::linorder) hp  $\Rightarrow$  bool where
  php (Hp x hs) = ( $\forall$  h  $\in$  set hs. ( $\forall$  y  $\in$  mset-hp h. x  $\leq$  y)  $\wedge$  php h)

```

```

definition invar :: ('a::linorder) heap  $\Rightarrow$  bool where
  invar ho = (case ho of None  $\Rightarrow$  True | Some h  $\Rightarrow$  php h)

```

```

lemma php-link: php h1  $\implies$  php h2  $\implies$  php (link h1 h2)
by (induction h1 h2 rule: link.induct) (fastforce simp flip: sum-mset-sum-list) +

```

```

lemma invar-merge:
  [] invar ho1; invar ho2 []  $\implies$  invar (merge ho1 ho2)
by (auto simp: php-link invar-def split: option.splits)

```

```

lemma invar-insert: invar ho  $\implies$  invar (insert x ho)
by (auto simp: php-link invar-def split: option.splits)

```

```

lemma invar-pass1:  $\forall$  h  $\in$  set hs. php h  $\implies$   $\forall$  h  $\in$  set (pass1 hs). php h
by (induction hs rule: pass1.induct) (auto simp: php-link)

```

```

lemma invar-pass2:  $\forall$  h  $\in$  set hs. php h  $\implies$  invar (pass2 hs)

```

```
by (induction hs)(auto simp: php-link invar-def split: option.splits)
```

```
lemma invar-Some: invar(Some h) = php h
by(simp add: invar-def)
```

```
lemma invar-del-min: invar ho  $\implies$  invar (del-min ho)
by(induction ho rule: del-min.induct)
(auto simp: invar-Some intro!: invar-pass1 invar-pass2)
```

### 3.2.2 Functional Correctness

```
lemma mset-hp-empty[simp]: mset-hp h  $\neq \{\#\}$ 
by (cases h) auto
```

```
lemma mset-heap-Some: mset-heap(Some h) = mset-hp h
by(simp add: mset-heap-def)
```

```
lemma mset-heap-empty: mset-heap h =  $\{\#\} \longleftrightarrow h = \text{None}$ 
by (cases h) (auto simp add: mset-heap-def)
```

```
lemma get-min-in:
ho  $\neq \text{None} \implies$  get-min ho  $\in \# \text{mset-hp(the ho)}$ 
by(induction rule: get-min.induct)(auto)
```

```
lemma get-min-min:  $\llbracket \text{ho} \neq \text{None}; \text{invar ho}; x \in \# \text{mset-hp(the ho)} \rrbracket \implies \text{get-min}$ 
 $\text{ho} \leq x$ 
by(induction ho rule: get-min.induct)(auto simp: invar-def simp flip: sum-mset-sum-list)
```

```
lemma mset-link: mset-hp (link h1 h2) = mset-hp h1 + mset-hp h2
by(induction h1 h2 rule: link.induct)(auto simp: add-ac)
```

```
lemma mset-merge: mset-heap (merge ho1 ho2) = mset-heap ho1 + mset-heap ho2
by (induction ho1 ho2 rule: merge.induct)
(auto simp add: mset-heap-def mset-link ac-simps)
```

```
lemma mset-insert: mset-heap (insert a ho) =  $\{\#a\#\} + \text{mset-heap ho}$ 
by(cases ho) (auto simp add: mset-link mset-heap-def insert-def)
```

```
lemma mset-pass1: sum-list(map mset-hp (pass1 hs)) = sum-list(map mset-hp hs)
by(induction hs rule: pass1.induct)
(auto simp: mset-link split: option.split)
```

```
lemma mset-pass2: mset-heap (pass2 hs) = sum-list(map mset-hp hs)
by(induction hs rule: merge-pairs.induct)
(auto simp: mset-link mset-heap-def split: option.split)
```

```
lemma mset-del-min: ho  $\neq \text{None} \implies$ 
mset-heap (del-min ho) = mset-heap ho -  $\{\#\text{get-min ho}\#}$ 
by(induction ho rule: del-min.induct)
```

```
(auto simp: mset-heap-Some mset-pass1 mset-pass2)
```

Last step: prove all axioms of the priority queue specification:

```
interpretation pairing: Priority-Queue-Merge
where empty = None and is-empty =  $\lambda h. h = \text{None}$ 
and merge = merge and insert = insert
and del-min = del-min and get-min = get-min
and invar = invar and mset = mset-heap
proof(standard, goal-cases)
  case 1 show ?case by(simp add: mset-heap-def)
next
  case (? q) thus ?case by(auto simp add: mset-heap-def split: option.split)
next
  case 3 show ?case by(simp add: mset-insert mset-merge)
next
  case 4 thus ?case by(simp add: mset-del-min mset-heap-empty)
next
  case (? 5 q) thus ?case using get-min-in[of q]
    by(auto simp add: eq-Min-iff get-min-min mset-heap-empty mset-heap-Some)
next
  case 6 thus ?case by (simp add: invar-def)
next
  case 7 thus ?case by(rule invar-insert)
next
  case 8 thus ?case by (simp add: invar-del-min)
next
  case 9 thus ?case by (simp add: mset-merge)
next
  case 10 thus ?case by (simp add: invar-merge)
qed

end
```

## References

- [1] M. L. Fredman, R. Sedgewick, D. D. Sleator, and R. E. Tarjan. The pairing heap: A new form of self-adjusting heap. *Algorithmica*, 1(1):111–129, 1986.
- [2] C. Okasaki. *Purely Functional Data Structures*. Cambridge University Press, 1998.