

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 Leaf = Leaf  
| link (Node lx x Leaf) = Node lx x Leaf  
| link (Node lx x (Node ly y ry)) =  
  (if x < y then Node (Node ly y lx) x ry else Node (Node lx x ly) y ry)
```

```
fun pass1 :: ('a::linorder) tree  $\Rightarrow$  'a tree where  
pass1 Leaf = Leaf  
| pass1 (Node lx x Leaf) = Node lx x Leaf  
| pass1 (Node lx x (Node ly y ry)) = link (Node lx x (Node ly y (pass1 ry)))
```

```
fun pass2 :: ('a::linorder) tree  $\Rightarrow$  'a tree where  
pass2 Leaf = Leaf  
| pass2 (Node l x r) = link(Node l x (pass2 r))
```

```
fun merge-pairs :: ('a::linorder) tree  $\Rightarrow$  'a tree where  
merge-pairs Leaf = Leaf  
| merge-pairs (Node lx x Leaf) = Node lx x Leaf  
| merge-pairs (Node lx x (Node ly y ry)) =  
  link (link (Node lx x (Node ly y (merge-pairs ry))))
```

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

```
fun merge :: ('a::linorder) tree  $\Rightarrow$  'a tree  $\Rightarrow$  'a tree where  
merge Leaf h = h  
| merge h Leaf = h  
| merge (Node lx x Leaf) (Node ly y Leaf) = link (Node lx x (Node ly y Leaf))
```

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

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

```
fun is-root :: 'a tree  $\Rightarrow$  bool where  
is-root h = (case h 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) = (pheap l  $\wedge$  pheap r  $\wedge$  ( $\forall y \in$  set-tree l. x  $\leq$  y))
```

1.2 Correctness Proofs

An optimization:

lemma *pass12-merge-pairs*: $pass_2 (pass_1 hs) = merge_pairs hs$
by (*induction hs rule: merge-pairs.induct*) *auto*

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

1.2.1 Invariants

lemma *link-struct*: $\exists la a. link (Node lx x (Node ly y ry)) = Node la a ry$
by *simp*

lemma *pass1-struct*: $\exists la a ra. pass_1 (Node lx x rx) = Node la a ra$
by (*cases rx*) *simp-all*

lemma *pass2-struct*: $\exists la a. pass_2 (Node lx x rx) = Node la a Leaf$
by(*induction rx arbitrary: x lx rule: pass2.induct*)
(*simp, metis pass2.simps(2) 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** $pass_1 lx = Node a la ra$
using *pass1-struct* **by** *blast*
moreover obtain *lb b* **where** $pass_2 \dots = Node b lb Leaf$
using *pass2-struct* **by** *blast*
ultimately show *?thesis* **using** *assms* **by** *simp*
qed *simp*
qed *simp*

lemma *pheap-merge*:
 $\llbracket is_root h1; is_root h2; pheap h1; pheap h2 \rrbracket \implies pheap (merge h1 h2)$
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*: $pheap\ t \implies pheap\ (link\ t)$
by(*induction t rule: link.induct*)(*auto*)

lemma *pheap-pass1*: $pheap\ h \implies pheap\ (pass_1\ h)$
by(*induction h rule: pass_1.induct*) (*auto*)

lemma *pheap-pass2*: $pheap\ h \implies pheap\ (pass_2\ h)$
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*:
 $h \neq Leaf \implies get-min\ h \in set-tree\ h$
by(*auto simp add: neq-Leaf-iff*)

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

lemma *mset-link*: $mset-tree\ (link\ t) = mset-tree\ t$
by(*induction t rule: link.induct*)(*auto simp: add-ac*)

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

lemma *mset-merge-pairs*: $mset-tree\ (merge-pairs\ h) = mset-tree\ h$
by(*induction h rule: merge-pairs.induct*)(*auto simp: mset-link add-ac*)

lemma *mset-del-min*: $\llbracket is-root\ h; t \neq Leaf \rrbracket \implies$
 $mset-tree\ (del-min\ h) = mset-tree\ h - \{\#get-min\ h\# \}$
by(*induction h rule: del-min.induct*)(*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* = *Leaf* **and** *is-empty* = $\lambda h. h = Leaf$
and *merge* = *merge* **and** *insert* = *insert*
and *del-min* = *del-min* **and** *get-min* = *get-min*
and *invar* = $\lambda h. is-root\ h \wedge pheap\ h$ **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 lx =: hx) (Hp y ly =: hy) =
    (if x < y then Hp x (hy # lx) else Hp y (hx # ly))

```

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 [] = []
| *pass₁* [h] = [h]
| *pass₁* (h1 # h2 # hs) = merge h1 h2 # *pass₁* 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 ⇒ '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 ⇒ '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 ⇒ 'a multiset **where**
mset-heap Empty = {#}
mset-heap (Hp x hs) = {#x#} + *Union-mset*(*mset*(*map* *mset-heap* hs))

fun *pheap* :: ('a :: linorder) heap ⇒ bool **where**
pheap Empty = True
pheap (Hp x hs) = (∀ h ∈ set hs. (∀ y ∈ # mset-heap h. x ≤ y) ∧ *pheap* h)

lemma *pheap-merge*: *pheap* h1 ⇒ *pheap* h2 ⇒ *pheap* (merge h1 h2)
by (*induction* h1 h2 rule: *merge.induct*) *fastforce*+

lemma *pheap-insert*: *pheap* h ⇒ *pheap* (*insert* x h)
by (*auto simp*: *pheap-merge*)

lemma *pheap-pass1*: ∀ h ∈ set hs. *pheap* h ⇒ ∀ h ∈ set (*pass₁* hs). *pheap* h
by(*induction* hs rule: *pass₁.induct*) (*auto simp*: *pheap-merge*)

lemma *pheap-pass2*: $\forall h \in \text{set } hs. \text{pheap } h \implies \text{pheap } (\text{pass}_2 \text{ } hs)$
by (*induction hs*)(*auto simp: pheap-merge*)

lemma *pheap-del-min*: $\text{pheap } h \implies \text{pheap } (\text{del-min } h)$
by(*induction h rule: del-min.induct*) (*auto intro!: pheap-pass1 pheap-pass2*)

2.2.2 Functional Correctness

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

lemma *get-min-in*: $h \neq \text{Empty} \implies \text{get-min } h \in\# \text{mset-heap}(h)$
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*: $\text{mset-heap } (\text{merge } h1 \text{ } h2) = \text{mset-heap } h1 + \text{mset-heap } h2$
by(*induction h1 h2 rule: merge.induct*)(*auto simp: add-ac*)

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

lemma *mset-merge-pairs*: $\text{mset-heap } (\text{merge-pairs } hs) = \text{Union-mset}(\text{image-mset } \text{mset-heap}(\text{mset } hs))$
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(*induction h rule: del-min.induct*) (*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 x lx) (Hp y ly) =
    (if x < y then Hp x (Hp y ly # lx) else Hp y (Hp x lx # ly))

```

```

fun merge :: ('a::linorder) heap ⇒ 'a heap ⇒ 'a heap where
  merge h None = h |
  merge None h = h |
  merge (Some h1) (Some h2) = Some(link h1 h2)

```


lemma *merge-None*[simp]: *merge None h = h*
by(cases h)auto

fun *insert* :: ('a::linorder) \Rightarrow 'a heap \Rightarrow 'a heap **where**
insert x None = Some(Hp x []) |
insert x (Some h) = Some(link (Hp x []) h)

fun *pass₁* :: ('a::linorder) hp list \Rightarrow 'a hp list **where**
pass₁ [] = []
| *pass₁* [h] = [h]
| *pass₁* (h1 # h2 # hs) = link h1 h2 # *pass₁* hs

fun *pass₂* :: ('a::linorder) hp list \Rightarrow 'a heap **where**
pass₂ [] = None
| *pass₂* (h # hs) = Some(case *pass₂* hs of None \Rightarrow h | Some h' \Rightarrow 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]

3.2.1 Invariants

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

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+

lemma *invar-merge*:
[*invar* h1; *invar* h2] \implies *invar* (merge h1 h2)
by (auto simp: *php-link invar-def split: option.splits*)

lemma *invar-insert*: $\text{invar } h \implies \text{invar } (\text{insert } x \ h)$
by (*auto simp: php-link invar-def split: option.splits*)

lemma *invar-pass1*: $\forall h \in \text{set } hs. \text{php } h \implies \forall h \in \text{set } (\text{pass}_1 \ hs). \text{php } h$
by(*induction hs rule: pass1.induct*) (*auto simp: php-link*)

lemma *invar-pass2*: $\forall h \in \text{set } hs. \text{php } h \implies \text{invar } (\text{pass}_2 \ hs)$
by (*induction hs*)(*auto simp: php-link invar-def split: option.splits*)

lemma *invar-Some*: $\text{invar}(\text{Some } h) = \text{php } h$
by(*simp add: invar-def*)

lemma *invar-del-min*: $\text{invar } h \implies \text{invar } (\text{del-min } h)$
by(*induction h rule: del-min.induct*)
(*auto simp: invar-Some intro!: invar-pass1 invar-pass2*)

3.2.2 Functional Correctness

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

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

lemma *set-mset-mset-hp*: $\text{set-mset } (\text{mset-hp } h) = \text{set-hp } h$
by(*induction h*) *auto*

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

lemma *mset-heap-Some*: $\text{mset-heap}(\text{Some } hp) = \text{mset-hp } hp$
by(*simp add: mset-heap-def*)

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

lemma *get-min-in*:
 $h \neq \text{None} \implies \text{get-min } h \in \text{set-hp}(\text{the } h)$
by(*induction rule: get-min.induct*)(*auto*)

lemma *get-min-min*: $\llbracket h \neq \text{None}; \text{invar } h; x \in \text{set-hp}(\text{the } h) \rrbracket \implies \text{get-min } h \leq x$
by(*induction h rule: get-min.induct*)(*auto simp: invar-def*)

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

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: mset-heap-def mset-link ac-simps)

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

lemma mset-merge-pairs:  $mset\text{-heap } (merge\text{-pairs } hs) = Union\text{-mset}(image\text{-mset } mset\text{-hp } (mset\ hs))$ 
by(induction hs rule: merge-pairs.induct)
  (auto simp: mset-merge mset-link mset-heap-def Let-def split: option.split)

lemma mset-del-min:  $h \neq None \implies$ 
   $mset\text{-heap } (del\text{-min } h) = mset\text{-heap } h - \{\#get\text{-min } h\# \}$ 
by(induction h rule: del-min.induct)
  (auto simp: mset-heap-Some pass12-merge-pairs mset-merge-pairs)

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

interpretation pairing: Priority-Queue-Merge
where empty = None and is-empty =  $\lambda h. h = None$ 
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 (2 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
      set-mset-mset-hp)
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. Sedgwick, 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.